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Note

Symbols of United Nations documents are composed of letters combined with figures. Mention of such a symbol indicates a reference to a United Nations document.

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Contents

Chapter		Page
	Abbreviations	4
	Mission statement	6
	Message by the Chair	7
I.	Annual report for 2013	10
	A. Reform of the Unit and challenges ahead	10
	B. Reports, notes and management letters issued in 2013	19
	C. Other outputs and activities	24
	D. Independent system-wide evaluations for operational activities for development	24
	E. Interaction with participating organizations and legislative bodies	25
	F. Follow-up to reports, notes and management letters	26
	G. Relationships with other oversight and coordinating bodies	32
	H. Resources	33
	I. Recommendations of the Joint Inspection Unit	34
	J. Peer review panel recommendations	35
II.	Programme of work for 2014	36
Annexes		
I.	Recommendations of the peer review panel	41
II.	Status of implementation of the workplan for 2013 as at 31 December 2013	45
III.	List of contributing organizations and their percentage share in the costs of the Joint Inspection Unit for 2014-2015	46
IV.	Aggregated status of acceptance and implementation of the Joint Inspection Unit recommendations by participating organizations, 2005-2012	47
V.	Composition of the Joint Inspection Unit	48
VI.	Programme of work for 2014	49
VII.	Norms and Standards for Inspection, Norms and Standards for Evaluation and General Principles and Guidelines for Investigations	50

Abbreviations

CEB	United Nations System Chief Executives Board for Coordination
ECA	Economic Commission for Africa
ECLAC	Economic Commission for Latin America and the Caribbean
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ICSC	International Civil Service Commission
ILO	International Labour Organization
IMO	International Maritime Organization
IPSAS	International Public Sector Accounting Standards
ITC	International Trade Centre
ITU	International Telecommunication Union
PAHO	Pan American Health Organization
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNWTO	World Tourism Organization

UPU	Universal Postal Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization

Mission statement

As the only independent external oversight body of the United Nations system mandated to conduct evaluations, inspections and investigations system-wide, the Joint Inspection Unit aims to:

(a) Assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management by the secretariats of human, financial and other resources;

(b) Help to improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations;

(c) Promote greater coordination among the organizations of the United Nations system;

(d) Identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

Message by the Chair

In accordance with article 10, paragraph 1, of the statute of the Joint Inspection Unit, I am pleased to submit the annual report of the Unit for the period from 1 January to 31 December 2013 and its programme of work for 2014.

The year 2013 marked a year of change for the Joint Inspection Unit, including the arrival of five new inspectors and a series of reform initiatives. Nevertheless, the Unit successfully moved forward on a number of areas while producing significant work in the area of inspection and evaluation.

Continued reform initiatives

In 2013, the Joint Inspection Unit gave new impetus to its continuous reform process, reflecting on the direction for its work in the forthcoming years aiming at making its work more relevant to the needs of its stakeholders. In this context, the Unit has undertaken some major reform initiatives, including a self-evaluation, a peer review, the completion of norms and standards and strategic approach in the establishment of its programme of work. The reform process has taken significant time and energy of the Unit, besides the statutory report preparation work.

Completion of professional norms and standards

Internal working methods and the quality of inputs were strengthened through the preparation of the Norms and Standards for Inspection, the Norms and Standards for Evaluation and the General Principles and Guidelines for Investigations in the Joint Inspection Unit (see A/68/34/Add.1, forthcoming).

Self-evaluation for further comprehensive improvement

In line with best practices, the Joint Inspection Unit conducted a comprehensive self-evaluation that helped the Unit determine immediate areas for improvement and shape its strategy and policies to becoming a more dynamic and effective oversight body.

The self-evaluation reached out to a wide range of Joint Inspection Unit stakeholders through focus group discussions with the focal points of the Unit participating organization and a web-based survey for Member States, the participating organizations, the CEB High-level Committee on Management networks and working groups, United Nations representatives of internal audit services and the Advisory Committee on Administrative and Budgetary Questions. The self-evaluation showed that the reform efforts of the past few years have resulted in the Unit becoming more strategic, relevant, quality-oriented and utilization-focused. The self-evaluation also reflected the fact that the Unit had strengthened its working methods, internal working procedures and norms and standards. It further noted that the institutional framework of the Unit was solid, but that its independence was negatively affected by its inability to present its budgetary requirements to the Fifth Committee. The self-evaluation also identified a number of areas for improvement that now form an integral part of a four-year action plan.

Peer review for external independent assessment of the Joint Inspection Unit

In line with its long-term strategy, the work of the Joint Inspection Unit was reviewed in 2013 by an external peer review panel tasked with assessing the independence, credibility, utility and performance of the Unit. The panel consisted of senior-level oversight experts who carried out the peer review in accordance with the best prevailing professional practices in the oversight community. The Unit welcomed the assessment of the panel that the work of the Unit is free from external influence as well as the panel's praise for the effective internal reforms of the Unit over the past few years. The Unit was also pleased that the panel confirmed that the reform efforts have further professionalized the Unit and improved the quality and use of its reports. Quality control processes introduced over the past two years offer the potential for further strengthening the Unit activities.

The panel stressed that the performance of the Joint Inspection Unit is, at least partly and at times significantly, a function of the complex political environment of its clientele, and the Unit has to organize itself in response to this political environment. In this regard, the panel offered a number of suggestions. Importantly, the panel affirmed that the Unit budget was not commensurate with the mandate of the Unit and that additional resources were required for specialized expertise, consultancies and travel to carry out in-depth inspections and evaluations of complex topics required by its mandate.

System-wide evaluations for operational activities for development

Based on General Assembly resolution 67/226, on the quadrennial comprehensive policy review, an interim coordination mechanism for system-wide evaluations of operational activities for development composed of the Joint Inspection Unit, the United Nations Evaluation Group, the Department of Economic and Social Affairs, the Office for the Coordination of Humanitarian Affairs and OIOS was established. The Unit assigned two members to work as part of the interim coordination mechanism, and thus contributed to the development and negotiation of a forward-looking policy for system-wide evaluations for operational activities for development. The Unit stands ready for this initiative entailing the Unit to chair the evaluation management group overseeing the two pilot evaluations and to provide a base for the interim secretariat of the independent system-wide evaluations for operational activities for development. However, sufficient extrabudgetary resources are required for these large evaluations.

Looking ahead

The Joint Inspection Unit, over the years, has contributed to most of the major reform areas in the United Nations system through the preparation of high quality reports and making relevant recommendations. An analysis of acceptance and implementation rates of the Unit's system-wide recommendations by the eight largest participating organizations for the past eight years (2005-2012) reflected that average acceptance rates reached 75 per cent and the average implementation rate reached 66 per cent. The Unit aims to further improve these rates in the coming years.

The Joint Inspection Unit programme of work for 2014 was prepared with the objective of addressing critical system-wide risks and reform issues in a more structured way. To this end, a refined new strategic approach was adopted. An

internal working group reviewed the legislative/governing bodies' agendas, deliberations and documents as well as the strategic plans of the participating organizations with a view to identifying strategic issues, reform needs, emerging risks and priority issues for Member States. In addition, organizations were asked for their suggestions for the programme of work.

The programme of work for 2014 includes administrative and programmatic as well as development-oriented inspections and evaluations intended to address critical risks and reform needs of the organizations, such as the review of safety and security of the United Nations personnel and premises worldwide; the scoping of a system-wide review of results-based management; a comprehensive analysis of activities and resources dedicated to climate change; review of the implementation of initiative for full and productive employment and decent work for all; and a system-wide review of contract management and administration.

We believe that the selected topics are balanced in terms of system-wide versus single organization reviews and medium-complexity and scope reviews versus highly complex and large-scope reviews. In order to carry out the highly complex project reviews, the Joint Inspection Unit will seek to mobilize extrabudgetary resources. At the same time, it will focus on the setting up of the secretariat of the system-wide evaluations for operational activities for development and on the launch of the two associated pilot evaluations.

The Joint Inspection Unit was encouraged that its overall performance and important value in the United Nations system, professional working practices and ongoing serious reform efforts have been recognized by the independent peer review panel. The Unit, based on its self-evaluation and the panel's findings, has already prepared an action plan to continue its reform efforts in 2014 and beyond.

We would like to draw your attention to the fact that the term of office of four inspectors is ending at the end of 2015. The Joint Inspection Unit would benefit if newly appointed inspectors could bring senior level, high-quality inspection, evaluation and audit expertise to the Unit. To this end, the Unit invites Member States to consider this recommendation when selecting candidates, and hopes for a greater consideration of qualified female candidates for these upcoming vacancies.

Finally, the Joint Inspection Unit has made a number of recommendations for the consideration of Member States in the present report. We believe that Member States action on Unit recommendations will provide an essential investment for professional and responsive system-wide oversight. It is our intent to continue working together with legislative bodies, executive heads and other stakeholders to enable the Unit to fulfil its mandate and become a stronger and more effective oversight mechanism of the United Nations system.

(*Signed*) Cihan **Terzi**
Chair

Geneva, 20 January 2014

Chapter I
Annual report for 2013

A. Reform of the Unit and challenges ahead

1. In 2013, the Joint Inspection Unit gave new impetus to its continuous reform process, reflecting on the direction of its work in the forthcoming years to make its work more relevant to the needs of its stakeholders. The reform process, which included two major undertakings, absorbed most of the Unit's attention, besides the statutory report preparation work. The professional external peer review, which was preceded by an internal self-evaluation, marked the first professional assessment of the work of the Unit.

Self-evaluation

2. In line with the strategic framework of the Joint Inspection Unit for 2010-2019,[1] the Unit decided in July 2012 to undertake a self-evaluation of its work for the period 2009-2012 aimed at determining immediate areas for improvement and exploring the Unit's direction in the medium to long term. The self-evaluation assessed the independence, the relevance, the credibility and the utility of the work of the Unit.

3. The self-evaluation reached out to a wide range of stakeholders of the Joint Inspection Unit through focus group discussions and a web-based survey that was sent out to Member States through the representatives of the Fifth Committee of the General Assembly, the participating organizations, the CEB/High-level Committee on Management networks and working groups, the United Nations representatives of internal audit services and the Advisory Committee on Administrative and Budgetary Questions.

4. The findings of the self-evaluation provided a platform for intense internal dialogue and resulted in the development of an action plan to improve the operation of the Unit. Comparing results to the previous self-evaluation that was undertaken in the 2008-2009 period, the 2012-2013 self-evaluation showed that the reform efforts of the past four years have resulted in the Joint Inspection Unit becoming more strategic, relevant, quality-oriented and utilization-focused owing to a number of large-scale projects, a proactive approach in the preparation of its programme of work and efforts that have led to greater efficiencies and standardization. According to the Unit's key stakeholders, the quality of reports has further improved over the past four years. The self-evaluation also confirmed that there were tangible improvements to the follow-up of the Unit reports, notes and recommendations, and that the Unit had significantly enhanced its outreach capacity through its revamped website. The self-evaluation has also demonstrated that the Unit strengthened its working methods, internal working procedures and norms and standards. The self-evaluation pointed to a number of areas for improvement, noting, for instance, that the institutional framework of the Unit was solid, but that its budgetary independence could be improved. Full and unfettered access to data and key informants in participating organizations was at times problematic. The self-evaluation indicated that there is a need for further attention to the timeliness of

[1] A/63/34, annex III, paras. 15 and 27 (d) of the original strategic framework; the peer review is not contained in the revised strategic framework.

reports in order to ensure their utility and relevance. Improvements in the working methods and the introduction of new guidance material constituted the first step in further improving timeliness and quality.

5. The self-evaluation identified a number of areas for improvement and made recommendations to that end, which include, inter alia, new working methods and models.

Peer review

6. The self-evaluation was followed by an external peer review as envisaged in the strategic framework for 2010-2019 and in response to General Assembly resolution 67/256, paragraph 12, recalling

> "the intention of the Unit to undertake a comprehensive peer review as explained in paragraphs 15 and 27 (d) of annex III to its report for 2008 and programme of work for 2009,[2] and in this respect, requests the Unit to include analysis and recommendations in its report to the General Assembly at the first part of its resumed sixty-eighth session, concerning, inter alia,
>
> (a) Working methods of the Unit;
>
> (b) Optimal size and composition of the Unit;
>
> (c) Standards and guidelines of the Unit;
>
> (d) Selection of subjects contained in the annual program of work;
>
> (e) Impact of recommendations made to the United Nations System Chief Executives Board for Coordination and participating organizations".

7. Given the uniqueness of the Joint Inspection Unit as the only independent oversight body with a mandate for inspections, evaluation and investigations system-wide, the Unit undertook an intensive search for international and national level experts working for comparable peer bodies. A panel composed of three reviewers was formed, taking into account geographic distribution (representative of developed and developing countries); senior level experience in oversight issues; a perspective of the United Nations versus national oversight; and gender balance. The panel members worked on a pro-bono basis, at no cost to the Unit, except for travel and per diem expenses. A consultant was hired to support the work of the panel.[3]

8. The peer review panel validated the findings of the self-evaluation on independence and called the self-evaluation and the reform efforts of the Joint Inspection Unit "serious and effective internal reforms". It further substantiated the view of stakeholders that the quality of Unit reports had improved over the past three to five years, and that recent reforms had had a positive impact on quality

[2] *Official Records of the General Assembly, Sixty-third Session, Supplement No. 34* and corrigendum (A/63/34 and Corr.1).

[3] The members of the panel are: Zeinab El Bakri, member of the World Bank Inspection Panel; Werner Kiene, former member and Chair of the World Bank Inspection Panel and outgoing Chair, Independent Investigation Mechanism of the Inter-American Development Bank, former Director of Evaluation of the World Food Programme; Phelele Tengeni KwaZulu-Natal, Provincial Administration Resident Commissioner and Deputy Chairperson of the South African Public Service Commission; Tony Beck, senior consultant.

assurance, outreach and working methods. It further affirmed the self-evaluation finding that the Unit budget is not commensurate with the mandate of the Unit and that the Unit requires additional resources for consultancies, travel and outreach. The peer review panel stressed that the performance of the Unit is a function of a complex contextual political environment and that the Unit has to organize itself in response to this political environment. It found that the Unit has to deal with a wide range of perceptions regarding its credibility and relevance among the various stakeholders and that these perceptions can be damaging to its image, despite the actual improved quality of the work.

9. The panel recommendations focused on four key areas: the election of inspectors; the Joint Inspection Unit additional budget requirements; production and use of Unit reports; quality assurance, communications and working methods. Annex I to the present report provides a summary of the recommendations. The full report, as well as the Unit's response, is available for consultation by Member States upon request.

10. The panel's recommendations, together with those of the self-evaluation, were incorporated, as appropriate, into the Unit action plan.

Response to General Assembly resolution 67/256

11. In response to General Assembly resolution 67/256, the Unit prepared five internal position papers which are summarized as follows:

(a) Working methods of the Unit

12. The working methods of the Unit are governed by the Joint Inspection Unit statute (1976) and are guided by the JIU standards and guidelines for inspections, evaluations and investigations (A/51/34), the internal working procedures (first approved in 2003 and last updated in 2011) and the yardsticks for the preparation of reports (developed in 2001 and revised in 2012). Draft reports and notes are subject to quality assurance through the collective wisdom of inspectors.

13. The Joint Inspection Unit standards reflect the best prevailing standards in the area of oversight. The Unit has taken into account existing norms and standards available in the United Nations system, as well as those elsewhere, such as the Conference of International Investigators.

14. In an effort to continuously improve its internal working methods and the quality of its outputs, the Joint Inspection Unit has prepared the Norms and Standards for Inspection, the Norms and Standards for Evaluation and the General Principles and Guidelines for Investigations, which are now consolidated in one document, as well as specific detailed guidance papers to support the application of the norms, standards and principles.

15. Decisions concerning the overall work of the Joint Inspection Unit are taken in line with the above directives in inspectors' meetings. There are two annual key sessions of the inspectors (July and December), where decisions are taken on key issues, such as the selection of topics for the programme of work and the implementation of the workplan of the Unit. In addition, inspectors have established ad hoc working groups to address critical issues.

Streamlining working methods

16. Owing to the stagnant budget, the Joint Inspection Unit has spent considerable time in recent years on streamlining its working methods so as to maximize its limited resources. The streamlining of the working methods has led to an overall more efficient report production process, to better use of research capacities and to more efficient use of limited travel resources.

Focusing beyond report work

17. The Joint Inspection Unit has developed a number of initiatives to further its products, visibility and impact, such as the web-based tracking system, outreach to key stakeholders through the revamped website and other communication tools, a participatory work planning process, information briefings to Members States and participating organizations, participation in professional networks, among others.

Enhancing research capacities

18. The Joint Inspection Unit has developed a vibrant internship training programme to enhance the project research capacities. The internship programme was developed out of a need for more research capacity which was not addressed in the approved Joint Inspection Unit budgets. While internships have become an important part of being able to do the mandated work of the Unit, this is not sustainable on a long-term basis as short-term interns cannot, nor should they, replace the need for additional research/evaluation staff.

Mobilizing resources

19. Resource mobilization has also yielded additional funding for five reports during the last two bienniums.[4] This has allowed the Joint Inspection Unit to get some relief for proceeding with these complex reports. The Unit has also reached out with some success to Member States for the financing of associate experts: two junior professional officers have been funded in the past four years.

Increasing coverage of the United Nations field-based activities

20. It should be emphasized that over time the travel budget of the Joint Inspection Unit has been reduced from 8 per cent of the budget in the 1990s to only 4 per cent in 2012. Teams have been trying to manage their travel budgets as efficiently as possible with various measures, including advanced planning, combining missions, using video teleconferences, and flying economy class instead of business class even for long distances.

21. The impact of these measures, which predate the United Nations new travel policy, has allowed the Joint Inspection Unit to double the field coverage, which used to be 0.8 visits to field locations per system-wide report in 2009 to 1.75 per system-wide report in 2013, although this average is still very low and the time spent on site not always sufficient. The use of video teleconferences has also brought additional savings and extended coverage. However, at this point in time, the Unit has reached the limits of what can be saved in terms of travel without losing the ability to do the necessary work on site in line with its professional

[4] JIU/REP/2011/3, JIU/REP/2011/11, JIU/REP/2012/6, JIU/REP/2012/7 and JIU/REP/2012/11.

standards. Insufficient field coverage and reduced time spent when visiting the headquarters and field offices inevitably impact the depth and the quality of reports.

Reaching out to external partners

22. For its outreach activity and working methods with external partners, the Unit has prepared a focal point strategy in an effort to increase the quality of interactions with the participating organizations and now holds biennial meetings with the Joint Inspection Unit focal points from these organizations. The Unit has also made progress in seeking closer interactions with the General Assembly, other legislative and governing organs, the Committee for Programme and Coordination, the United Nations System Chief Executives Board for Coordination (CEB), the Internal Audit Advisory Committee, the Board of Auditors and the Office of Internal Oversight Services (OIOS),[5] and the executive heads of its participating organizations. The Unit participates in the meetings of the internal audit services of the United Nations system organizations and multilateral financial institutions, the annual Conference of International Investigators of the United Nations and the Annual meeting of the United Nations Evaluation Group. These interactions and participation in related meetings are important forums for the Unit to share and discuss its work processes and to exchange experiences.

Taking action on further improvements

23. The Unit is committed to continuously review its working methods in efforts to ensure efficiency and effectiveness of its work. Taking into account the self-evaluation findings and the peer review panel report, the Joint Inspection Unit prepared an action plan that identified the following lines of action: development of a resource mobilization strategy; a more strategic approach to the selection of topics for the annual programme of work; further improvements of quality assurance through templates and guidance documents, as well as earlier engagement of stakeholders in the report production process; incorporation of greater expertise/external advice; improved outreach to Member States, a more refined focal point strategy including clearer responsibilities of the Joint Inspection Unit and its participating organizations; closer relations and sharing workplans with the oversight units of participating organizations and other United Nations oversight and coordinating bodies; and revisiting the user-friendliness of the Unit products.

(b) Optimal size and composition of the Joint Inspection Unit

24. The overall composition and size of the Joint Inspection Unit are governed by its statute. The human and financial resources as set out by Member States ultimately depend on the needs and demands for oversight within the United Nations system and the level of risks to be addressed. The level of needs and risks are correlated to two main factors: the size and complexity of operations of the organizations and the oversight appetite of legislative bodies and secretariats of the Unit participating organizations.

25. Over the past 30 years the size and complexity of the United Nations system organizations and their global presence have experienced significant growth. The financial and human resources involved have increased substantially. The oversight

[5] The Joint Inspection Unit, the Board of Auditors and OIOS hold annual tripartite meetings.

universe of the Joint Inspection Unit currently comprises 28 United Nations entities, around 83,000 staff and over 60,000 non-staff personnel and $40 billion of annual expenditure. This situation naturally increased the risks faced by the organizations, and highlighted the need for effective coordination, harmonization and dissemination of best practices, as well as addressing risks across the system. As the only system-wide oversight body, the Unit has the mandate and a pivotal role to address these needs and risks. Yet, resources remained stagnant over the same period, affecting the Unit's ability to fulfil its mandate. Under these circumstances, it is clear that the resources of the Unit are far from optimal. Requests by the Unit over the years to increase the staffing, consultancy and travel resources have had little success.

26. In recent years, the Joint Inspection Unit annual programme of work had contained an average of eight to nine system-wide reviews and two management and administration reviews of single organizations. The ambition of the first Unit strategic framework to conduct periodic reviews of organizations every five years has not been fulfilled owing to the lack of the required additional resources. One to two management and administration reviews are currently done annually, resulting in a 14-year cycle, which is not conducive to addressing risks.

27. In comparison to other oversight actors, the team size in the Joint Inspection Unit is modest, if not marginal: typically, an inspector is supported by only one professional staff, who is also tasked with non-report work at the same time. By contrast, complex inspection and evaluation teams are often larger than four or five full-time team members, including experts/consultants hired specifically for the period of the evaluation. The lack of external expertise has limited the ability of the Unit to address larger and more complex evaluations as they require a skills mix that often is not available in-house.

28. The Unit has considered two options for optimizing its size and composition: option 1, which represents the optimal size and composition of the Unit, the one to aim at in the medium- to long-term run; and option 2, which represents a more modest yet meaningful increment at short term.

29. Option 1 envisages undertaking 10 projects per year (4 large and 6 medium-size projects). Required human resources are: one inspector and two Evaluation and Inspection Officers, and a four-month consultancy for each large project and one inspector, one and a half Evaluation and Inspection Officers and a two-month consultancy for each medium project. This model requires seven additional Evaluation and Inspection Officers and 28 months consultancy overall. In addition, each large project requires four additional field visits and each medium project requires two additional field visits requiring more than doubling the travel budget currently available to the Unit.

30. Option 2 envisages eight projects every year (two large projects and six medium-size projects). Each large project requires two inspectors and two Evaluation and Inspection Officers; each medium project requires one inspector and 1.5 Evaluation and Inspection Officers. This model requires three additional Evaluation and Inspection Officers and 20 months consultancy overall. Large and medium projects include an additional four and two field visits, respectively.

31. The above options do not include resources needed to provide the secretariat for the independent system-wide evaluations for operational activities for

development, which will need to be resourced and will only be conducted if adequate funding and capacity are available, as recommended by the peer review and as stipulated in the policy for independent system-wide evaluations for operational activities for development.

32. The peer review panel, during its review, recognized inadequate funding as one of the main constraints and made recommendation to that effect. The panel recommended that the number of reports be reduced and more outreach be undertaken, estimating the additional resources needed per year at $850,000, as follows:

- Consultancies: $480,000 for 24 person/months for four complex system-wide reports
- Travel: $300,000 for four complex system-wide reports
- Outreach: $50,000
- Building inspector's and staff expertise: $20,000.

33. The recommended additional resources by the peer review panel may not be optimal; however, under the ongoing financial constraints, they can be considered as one of the viable options in the short term. They would provide the Joint Inspection Unit with better flexibility and also an opportunity to address more strategic topics in the system.

(c) Joint Inspection Unit standards and guidelines

34. The overall work and functions of the Joint Inspection Unit are governed by the Unit statute. In order to ensure the highest quality of work under the direction of its statute, the Unit has developed various norms, standards and guidelines to guide its work in inspection, evaluation and investigation. Working tools specific to the inspection and evaluation process are also being prepared in support of the relevant norms and standards, to be adhered to by the Unit teams. The quality assurance system of the Unit, including the collective wisdom process, uses the standards and guidelines to assess the quality of the reports, notes and letters produced by the Unit. Standards and guidelines utilized in the Unit are:

- The Joint Inspection Unit statute (1976, approved by the General Assembly and the legislative bodies of the respective participating organizations) constitutes main governance document and defines the functions, powers and responsibilities of the Unit
- The standards and guidelines presented to the General Assembly in A/51/34, annex I, which provide a definition of inspections, evaluations and investigations, as well as the selection, planning, conduct and reporting of Unit products
- The internal working procedures (revision of 2011) developed and adopted by the Unit in order to complement the standards and guidelines referred to above
- The Norms and Standards for Inspection (2013) set out the modalities for the inspection function. They are derived in part from the relevant section of the Unit statute and the Unit standards and guidelines.

35. The Norms and Standards for Evaluation (adopted in 2012) define the work of the Joint Inspection Unit for the evaluation function, taking into account the latest developments in evaluation methodologies followed within the United Nations system organizations, including those adopted by the United Nations Evaluation Group. They were found by the peer review panel to be in conformity with the Group's norms and standards.

36. The General Principles and Guidelines for Investigations (2013) set out the Joint Inspection Unit's main standards and procedures for the conduct of inquiries and investigations. The document is in conformity with the Uniform Guidelines for Investigations, endorsed at the tenth Conference of International Investigators (2009), and has been peer reviewed by professional investigators of the United Nations system and from the private sector.

(d) Selection of subjects for the annual programme of work

37. In recent years topics were selected through a demand-driven process that entailed requesting suggestions from the participating organizations and oversight bodies, assessing the suggestions received through a validation and ranking exercise and, subsequently, selecting topics for the programme of work based on an internal rating and selection exercise. The inspectors had also contributed to the programme of work by submitting proposals based on their observations and assessments. On an average, one to two mandated reports were included in a programme of work, as requested by the legislative/governing bodies of the participating organizations, mainly the General Assembly. Customarily, an annual programme of work containing 11 new topics (one topic per inspector) would be adopted.

38. In 2013 the Joint Inspection Unit launched an internal process to better align its programme of work to the Unit's long-term strategy for 2010-2019 and to redefine the process of its annual programme of work, aiming, inter alia, at:

- Improving the selection of topics based on strategic relevance, impact and visibility
- Becoming more focused on taking into account risks and opportunities
- Improving the utilization of the work of the Unit by the governing bodies
- Increasing responsiveness to strategic priorities of stakeholders
- Continuing to improve the relevance, utility and quality of the work of the Unit
- The criteria for selecting the topics for the annual programmes of work was reassessed and reaffirmed based on decisional parameters such as: mandate-based, risk-opportunity, impact, timeliness, relevance, costing (including travel and expertise) and available capacity to deliver
- Further improvements to this process are envisaged for 2014, mainly in line with the recommendations of the peer review panel, which suggested the adoption of a rolling two-year planning cycle and proactive selection of topics, reducing risks to the United Nations and focusing on system-wide priorities.

(e) Impact of the Joint Inspection Unit recommendations

39. Over the years, the Joint Inspection Unit has produced reports in most of the major reform areas of the United Nations system. Some of the areas are oversight lacunae, audit, investigation, ethics, administration of justice, procurement, result-based management, enterprise risk management, enterprise resource planning, International Public Sector Accounting Standards (IPSAS), offshoring, environment, humanitarian assistance, accountability and human resources. In general, the majority of recommendations of these reports have been accepted. It should be noted that, as the acceptance and implementation rates of recommendations demonstrate, the Unit has contributed to most of the major reform areas in the United Nations system.

40. Acceptance and implementation rates are the best proxy indicators for the impact of the recommendations. As shown in section F below, the average acceptance rate of eight of the largest participating organizations for the period of 2005-2012 is about 75 per cent (for the period of 2005-2010 it was over 80 per cent) and their implementation is 66 per cent.

41. The Joint Inspection Unit also used its self-evaluation survey to detect the impact of its reports. The survey indicated that the respondents considered the Unit reports to be a valuable source of information and that they disseminate best practices, help to strengthen coherence and harmonization and to promote transparency and accountability in the system, and serve to enhance efficiency and effectiveness; they are used by the organizations to support policy-making, and improve strategies, projects and programmes.

42. Over the years, the Joint Inspection Unit has, in general, received positive feedback on the impact of its reports and notes from major stakeholders' groups. The recommendations contained in the Unit reports have encouraged discussions within organizations as well as across the United Nations system, promoted debate and influenced the development of relevant policies sometimes years after their issuance. The Unit's work on results-based management, environment, administration of justice, enterprise risk management, procurement, oversight issues and the organization-specific management and administration reviews appear to be some of the areas often mentioned appreciatively by the stakeholders.

43. The Joint Inspection Unit has made considerable efforts to enhance the follow-up on its recommendations by developing a web-based tracking system for follow-up on recommendations and related online reporting. The Unit Working Group on information technology has worked on this issue intensively. The peer review panel concluded that the web-based tracking system was a positive innovation, and it positioned the Unit as a leader in the United Nations system in this area.

44. The recommendations of the Joint Inspection Unit are often complex; they may require major changes in the policy and practices of the organizations and their implementation takes time. Measuring full end impact requires thematic and longitudinal studies with medium- and long-term perspective. In efforts to capture some in-depth information on the impact of recommendations, the Unit undertook a qualitative longitudinal study in 2011 on the impact of the work of the Unit on two areas over a long period: administration of justice and results-based management. The study found that while sometimes the uptake of recommendations initially was

an issue, over the long run reports appear to have contributed to enhancing or reforming existing systems, in particular in the United Nations.

45. The Joint Inspection Unit reports, notes and management letters, once issued, become public and are made available, and are easily accessible on the Unit website. Observations over the years reflected that the Unit recommendations are, anecdotally, often found to be implemented without attribution to the Unit. Following the self-evaluation and the external peer review exercise, the Unit will continue to make efforts to capture data/information on the impact of its recommendations, in addition to its work on the web-based tracking system. Where time and resources permit, the Unit plans to conduct surveys and case studies to further detect the utility of its reports.

B. Reports, notes and management letters issued in 2013

46. The programme of work for 2013 adopted by the Unit at its resumed winter session of January 2013 comprised of 12 new projects, including two feasibility studies. Out of the 10 topics, 8 were system-wide and 2 were management and administration reviews of single organizations. The actual workplan for 2013 contained a total of 17 projects, including four reviews carried forward from 2012 and one from 2011, which were all finalized by mid-2013, as well as many non-report activities. One report was cancelled due to an ongoing and overlapping work in the United Nations system.

47. Over the year, the Unit has issued 4 reports, 2 notes and 1 management letter and also undertook and completed the 2 feasibility studies (see annex II). The key findings of the reports, notes and the management letter finalized in 2013 are summarized below. Remaining projects from the topics initiated in 2013 are planned to be completed in the first quarter of 2014.

Review of long-term agreements in procurement in the United Nations system

48. The review showed that there are significant monetary and non-monetary benefits to be had from the use of long-term agreements in procurement in the United Nations system. However, there are risks linked to: (a) the lack of specific policies in many United Nations system organizations for the use of long-term agreements; and (b) inadequate capacity for procurement planning, strategy development, contract management and monitoring and data collection. The report shares useful information with the United Nations system organizations on types of long-term agreements, their advantages and disadvantages and good practices with respect to policy, strategy, contract management and optimizing their use. It describes better modalities for collaboration among the United Nations system organizations in the use of long-term agreements, identifies challenges and encourages further collaboration (especially through existing networks such as the High-level Committee on Management Procurement Network).

49. The report includes five recommendations aimed at improving efficiency and effectiveness in the use of long-term agreements. The review indicated the greater efficiency potential in the use of long-term agreements and recommended that organizations pursue collaborative long-term agreement opportunities to utilize this potential through various methods, including establishing polices and guidelines to facilitate collaboration, circulating long-term agreement tenders in the system for

the participation of many organizations and listing long-term agreements on United Nations Global Marketplace for the use of other organizations. The report identified the need to view procurement as a strategic tool, which facilitates the achievement of the United Nations goals, rather than as a transactional back-office function. A more strategic approach to procurement planning and contract management will contribute to a more efficient and effective United Nations system.

Records and archives management in the United Nations

50. This report emphasizes that records and archives management is an essential component of good governance and a prerequisite for efficient administrative processes. It argues that it is also a source of benefits in terms of substantive activities and of financial savings. In the United Nations Secretariat, the current policies, procedures and organizational arrangements provide no conditions for effective records and archives management either at Headquarters or in the field. The situation is not better in most of the other United Nations entities. Records and archive management arrangements are fragmented and there is inconsistent implementation of policy principles. A major issue is the absence of management of digital records, including e-mail messages, that exposes all entities to serious risks in terms of integrity, security and authenticity at present and in the future when they may constitute the sole basis for meaningful archives to preserve institutional memory.

51. To redress the current and future situation, a long-term corporate commitment is required at the highest level of each entity, from both Member States and senior management. The report recommends the update and the consolidation of regulatory frameworks to recast them into a comprehensive and unequivocal set of principles, rules and practice-oriented procedures covering the whole life cycle of recorded information. It also calls for more authoritative corporate-wide records and archive management programmes strictly applied and monitored effectively, all sustained by a network of qualified persons and sufficient training for each category of stakeholders.

Selection and appointment process of the United Nations Resident Coordinators, including preparation, training and support provided to their work

52. The review assessed the operation of the present selection and appointment process of the Resident Coordinators, and the effectiveness and efficiency of the related institutional support mechanisms to this process, including the preparation, the training and the support provided to their work. The review found that, while the established framework for the selection and appointment of Resident Coordinators has resulted in a more predictable, inclusive, participatory inter-agency process with clear separation of the phases for assessment, selection and appointment and the composition of the Resident Coordinators is more diverse today in terms of gender, geography and organization of origin than at any time in the past, imbalances and transparency concerns remain to be addressed. In this regard, the inspectors provided critical observations regarding the operational practices of the Inter-Agency Advisory Panel and made suggestions to improve its present standard operational procedures.

53. The report contains three recommendations addressed respectively to the General Assembly, the executive heads of UNDG organizations and the CEB Chair

(Secretary-General) calling for: (a) the establishment of long-term targets regarding diversity in North-South balance and organization of origin in Resident Coordinator composition; (b) the development and implementation of appropriate guidelines for the identification, screening and preparation of potential Resident Coordinator candidates by the respective human resources management offices of UNDG entities; (c) ensuring a more open nomination process for candidates who are already in the Resident Coordinator pool; (d) addressing the possibility of incorporating interviews of shortlisted candidates; and (e) changing the present Inter-Agency Advisory Panel voting system by establishing a minimum required number of support votes for a candidate to be shortlisted for consideration by the UNDG Chair.

54. The report also contains a number of soft recommendations outlining the major directions on how to improve the operation of the selection and appointment process, including, among others, increasing the number of nominated candidates for assessment by the Resident Coordinators assessment centres to incentives that the nominations reflect the required diversity of candidates, grooming Resident Coordinator candidates at a much earlier stage in their careers and the incorporation of the training costs of Resident Coordinators into the operational costs of the Resident Coordinator system. The review's identification and analyses of challenges complemented by recommendations are expected to lead to improvements in the selection and appointment process and in the ownership of the Resident Coordinator system.

Review of the management of implementing partners in United Nations system organizations

55. Partnerships with public and non-public entities have become essential for most United Nations system organizations in pursuing their mandates. This report focuses on partnerships involving the transfer of United Nations resources to implementing partners for the execution and implementation of programme activities. The volume of United Nations resources entrusted to implementing partners is significant, with some organizations expending over half their annual budgets through implementing partners. The report reviews the methods used by the United Nations system to select and manage implementing partners. It identifies strengths and weaknesses in current practices, explores areas for further improvement, and contains three recommendations to the legislative bodies and nine recommendations to heads of organizations.

56. The review found that a number of the United Nations system organizations lack a strategic framework on partnerships and have ad hoc and incoherent approaches in engaging with implementing partners. The report recommends that the selection and management of implementing partners should be based on in-depth assessments of implementing partner capacities; sound legal agreements to safeguard United Nations interests; risk-based monitoring and reporting; robust auditing and evaluation; and improved fraud awareness and prevention. While the United Nations organizations vary widely in terms of their mandates and working practices, the above principles apply to all organizations and should constitute the foundation for effective implementing partner management, ensuring that funds allocated to implementing partners have been used efficiently, for intended purposes, and with minimum risk of fraud, corruption and mismanagement. The review found that there is limited or no sharing of information and cooperation

among the United Nations system organizations related to implementing partners at the country and headquarters levels. It recommends that implementing partner-related policy and management issues become a regular agenda item of CEB and its three pillars. Similarly, it calls for procedures to be established for sharing implementing partner-relevant information among organizations at the country level.

57. The review observes that host government entities are major partners for the United Nations system organizations in line with the Paris Declaration on Aid Effectiveness and the Rome Declaration on Harmonization and relevant General Assembly resolutions. With a view of further strengthening national execution and national implementation in the delivery of programmes for sustainable development, the report suggests that a system-wide study be commissioned to take stock of the effectiveness and impact of implementing partner-related approaches, initiatives and systems to strengthen national capacities and promote national ownership.

Review of management and administration in the Economic Commission for Latin America and the Caribbean

58. Since its establishment in 1948, ECLAC has been an important player in the Latin American socioeconomic context, with a long-standing reputation as a regional think tank that contributes to socioeconomic development thinking in Latin America and in promoting cooperation and integration within the region, the heart of its mandate. The review found that ECLAC is distinctively placed to play a stronger regional coordinating role, first facilitating the dialogue among regional actors, in particular Member States and regional and subregional organizations, and secondly, acting as an interface between the United Nations system and regional and subregional stakeholders. While ECLAC should continue to play a leading role as a think tank, it should further support regional integration efforts. The review also found that ECLAC has a broad mandate that is not in line with the resources made available to it and that there is a need to revitalize some of the subsidiary bodies of ECLAC, which would require the active involvement of Member States. The note contains six recommendations, all of them addressed to the Executive Secretary of ECLAC.

Reference checks in the United Nations system organizations

59. Building on the recent report of the Joint Inspection Unit on staff recruitment (JIU/REP/2012/9), this note presents an assessment of the efficiency and effectiveness in the reference checking process. It touches on the lack of adequate administrative instruments guiding the recruiters in conducting reference checks across the system. The inspectors found that in most organizations the responsibility for reference checks was not clearly delineated and the different actors involved were not adequately informed, trained and supported; the checks were not appropriately conducted, and their results were not properly documented and stored; and the recruitment process was often completed without any reference checking having been previously concluded.

60. The note includes two recommendations designed to strengthen system-wide coherence through the adoption of six benchmarks, and, thus, to ensure good practices dissemination and standardization of reference checks across the system: reference checking is mandatory for every external candidate hired to fixed-term

posts of one year at least; is regulated by administrative instruments on recruitment with relevant guidance and requirements; is conducted in a comprehensive and timely manner, in writing, from the recommendation stage of the selection process; roles are assigned to all actors involved, with human resources being responsible for managing the overall exercise; and its completion is duly documented and certified prior to concluding the recruitment process.

Management letter on the World Tourism Organization

61. The management letter was issued in order to obtain clarification as to why the three executive directors were appointed at the Assistant Secretary-General level, considering that the one previous Assistant Secretary-General appointee was recruited at the Director (D-1) level. As there is no legal basis under the UNWTO statute to appoint Assistant Secretaries-General, a recommendation was made to downgrade the current executive directors to a Director (D-2) level. This would result in cost savings for the Organization, in the light of the present tight budgetary restrictions. The letter also contained questions and recommendations related to the status of the UNWTO liaison office in New York and the granting of diplomatic privileges for pro-bono staff.

Feasibility study on the review of safety and security in the United Nations system organizations

62. The subject of safety and security is vast and covers many different areas; in order to better define the scope and determine stakeholders' views and demand for a review on this topic, the inspectors decided to conduct a feasibility study. The conclusions of the study were that the interest for such a review was high among both Member States and the Joint Inspection Unit participating organizations. Two possible scenarios were proposed to undertake it. The first option was to concentrate on a narrow scope focusing on the United Nations Department of Safety and Security and the second option was to conduct a larger scale and scope report that would be an inspection or follow-up to the 2008 report of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide, "Towards a culture of security and accountability". The Unit decided to pursue the second option with an expectation of additional resources for this review to be provided by interested stakeholders.

Feasibility study on the review of the management and administration of the United Nations special political missions

63. The feasibility study confirmed that special political missions are at a crucial moment in which a review is necessary. Nonetheless, the timing of the Joint Inspection Unit study is an issue given that there are ongoing discussions by Member States in the General Assembly and the outcome of the discussions would have a direct impact on the scope of the review. As a result, the inspectors concluded that it is prudent not to start the review at this time and to keep the topic on the roster to revisit it when the present General Assembly discussions in both the Fourth and Fifth Committees are concluded.

Biennial overview of reports, notes and management letters issued

64. During the biennium 2012-2013, the Unit issued 17 reports, 6 notes and 2 management letters, adding a total of 25 outputs for the consideration of organizations; 3 of the reports were mandated; 15 reviews were of a system-wide nature; 3 concerned several organizations; and 5 reviews and 2 management letters were focused on single organizations. They contain a total of 147 recommendations (109 in 2012 and 38 in 2013).

C. Other outputs and activities

65. As mentioned earlier, 2013 was a particularly active year for non-report activities by the Unit, as follows:

- A self-evaluation including numerous interviews with various stakeholders and stakeholders' surveys and analysis of findings and preparation of reports
- First independent peer review was carried out (see sect. A)
- Various internal working groups were established. These groups developed and approved the Norms and Standards for Inspection, the Norms and Standards for Evaluation and the General Principles and Guidelines for Investigations; discussed the findings of the self-evaluation and peer panel reports; adopted an action plan; and initiated a review of the key performance indicators utilized in the Joint Inspection Unit management and administration reviews to streamline the methodology used; worked on the maintenance and improvement of the web-based tracking system (see sect. A)
- More than 60 Unit meetings were held to advance the ongoing reform efforts
- Joint Inspection Unit staff and inspectors held retreats aimed at improving working methods and communications
- Meetings were also held with groups of Member States to raise greater awareness of the work of the Unit (see sect. E)
- More than a dozen meetings were held with senior management and focal points of participating organizations, as well as representatives of the United Nations oversight and coordinating bodies (see sect. E)
- Significant resource investments were made in the development of a policy for independent system-wide evaluations for operational activities for development (see sect. D)
- One inspector was an active member of the WHO Member State evaluation management group providing quality assurance for the external independent evaluation.

D. Independent system-wide evaluations for operational activities for development

66. The General Assembly in its resolution 67/226, on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, requested the Secretary-General to establish an interim coordination

mechanism for system-wide evaluations composed of the Joint Inspection Unit, the United Nations Evaluation Group, the Department of Economic and Social Affairs, the Office for the Coordination of Humanitarian Affairs and OIOS. The interim coordination mechanism was tasked with developing a policy and a proposal to pilot test an independent system-wide evaluation for operational activities for development to be submitted to the Economic and Social Council operational segment in July 2013. The Unit nominated two representatives who actively participated in the development of the policy[6] and helped ensure support for the policy from within the system and from Member States.

67. The policy puts in place an institutional framework for independent system-wide evaluation for operational activities for development, including guiding principles, three evaluation approaches to be tested in the pilot (synthesis evaluation, cross-cutting issues and comprehensive evaluation) and the governance and financing frameworks. Under this structure, the Joint Inspection Unit will host the secretariat of the independent system-wide evaluation for operational activities for development mechanism and chair the Evaluation Management Group and its statutory follow-up process, including the use of the web-based system for the tracking of recommendations to track implementation and impact. The pilot policy is for three years of duration; at the mid-point and end of the pilot phase there will be reviews of the experience and recommendations for the future of independent system-wide evaluation for operational activities for development.

68. In July 2013 the Economic and Social Council welcomed the establishment of the Interim Coordination Mechanism and took note of the proposed policy document. The General Assembly, at its sixty-eighth session, took note of the policy and decided on two pilot independent system-wide evaluations to be conducted in 2014, subject to the provision and availability of extrabudgetary resources on meta-evaluation and synthesis of United Nations Development Assistance Framework evaluations with a particular focus on poverty eradication and evaluation of the contribution of the United Nations development system to strengthening national capacities for statistical analysis and data collection to support the achievement of the Millennium Development Goals and other internationally agreed development goals. The Assembly further invited countries to contribute extrabudgetary resources for the effective implementation of the pilot independent system-wide evaluations.

69. The pilot policy reaffirms the role and mandate of the Joint Inspection Unit on independent system-wide evaluations. The Unit stands ready for this new endeavour on the condition, however, of receiving extrabudgetary resources not only for the conduct of the evaluations, but also to set up a minimal secretariat capacity to fundraise, select and manage consultants. Any extrabudgetary funds received for this purpose will be set aside in a trust fund and managed separately from the Unit budget.

E. Interaction with participating organizations and legislative bodies

70. Improving relationships with participating organizations continued in 2013. The Joint Inspection Unit Chair met with the executive heads of ILO, UNEP and

[6] See www.un.org/esa/coordination/pdf/iswe_revised.pdf.

WFP, the Deputy Directors-General of FAO and UNFPA and the WFP Inspector General. In the United Nations Secretariat, he met with the Chairs of the Fifth Committee, the Advisory Committee on Administrative and Budgetary Questions and the Board of Auditors, in addition to the Executive Office of the Secretary-General, the Under-Secretary General for Management, the Under-Secretary General for Conference Services, the Under-Secretary-General for Internal Oversight Services, and attended, through videoconference, the United Nations Secretariat's Management Committee meeting. Support for the work of the Unit was reiterated, as well as readiness to continue enhancing cooperation with the Unit (see annex III for the list of organizations that contribute resources to the Unit). In addition, the inspectors intensified contacts with Member States in New York and Geneva, met with the Group of 77 and China, the African, Asian and Latin American and Caribbean regional groups, the European Union, the Geneva Group, and with 11 countries individually. They were briefed on different aspects of the work of the Unit, the reform efforts and the need for additional resources, both core and extrabudgetary, for specific projects.

71. The inspectors, during their reviews-related visits, used the opportunity to meet with the senior management and focal points of the participating organizations and Member States representatives. During these meetings, issues of common concern to the Unit and the participating organizations were discussed, in particular the follow-up to the Joint Inspection Unit recommendations. The inspectors participated in sessions of the legislative governing bodies of the Unit participating organizations in Geneva to introduce their reports. At the United Nations, report coordinators met with Member States and regional groups and presented their reports, as appropriate, to the Second, the Fourth and the Fifth Committees of the General Assembly, the Economic and Social Council, the High-level Meeting on South-South and Triangular Cooperation and the Committee on Programme and Coordination. The Committee on Programme and Coordination welcomed the return of the Unit to this forum in its report (see A/68/16), and the Assembly endorsed the conclusions and recommendations of the Committee on Programme and Coordination on the two Unit reports. One inspector was invited to present his report at the meeting of the twenty-ninth Ministerial Conference of La Francophonie.

72. The Joint Inspection Unit was also represented at several formal and informal consultations of the Fourth and Fifth Committees and the Advisory Committee on Administrative and Budgetary Questions to discuss the annual report of the Unit, the programme of work and the budget requirements. The Unit also participated in several informal meetings of the Second Committee on the policy on the independent system-wide evaluation for operational activities for development.

F. Follow-up to reports, notes and management letters

73. The new web-based system for the tracking of recommendations has been operational now for more than a year; its performance is highly satisfactory and all organizations for the first time are reporting their data using it. Participating organizations have praised the utility and user-friendliness of the system and have requested a number of additional functionalities and enhancements, which the Unit envisages to accommodate in 2014 when it plans to develop a new version of its software.

74. The current web-based system for the tracking of recommendations contains follow-up information for each report and note issued since 2004; it is accessible from any computer connected to the Internet and is easy to use. It provides detailed statistical analysis and an impressive reporting facility, including graphics. It also provides detailed data on single-organization implementation and acceptance of recommendations, and is able to provide a system-wide perspective. Member States are invited to use the web-based system for the tracking of recommendations, as it may help to enhance their oversight capacities by facilitating the access to relevant data. The access to the system, which can be accessed at the Unit website (www.unjiu.org), is password-protected and administered by the Unit secretariat.

Table 1

Number of Joint Inspection Unit reports, notes and management letters and recommendations, 2008-2013

	2008	*2009*	*2010*	*2011*	*2012*	*2013*	*Total 2008-2013*
Publications that are system-wide and related to several organizations	9	6	8	10	13	5	51
Recommendations that are system-wide and related to several organizations	96	62	85	100	65	29	437
Single-organization publications	2	5	3	2	4	2	18
Single-organization recommendations	23	65	40	10	44	9	191
Total publications	**11**	**11**	**11**	**12**	**17**	**7**	**69**
Total recommendations	**119**	**127**	**125**	**110**	**109**	**38**	**628**

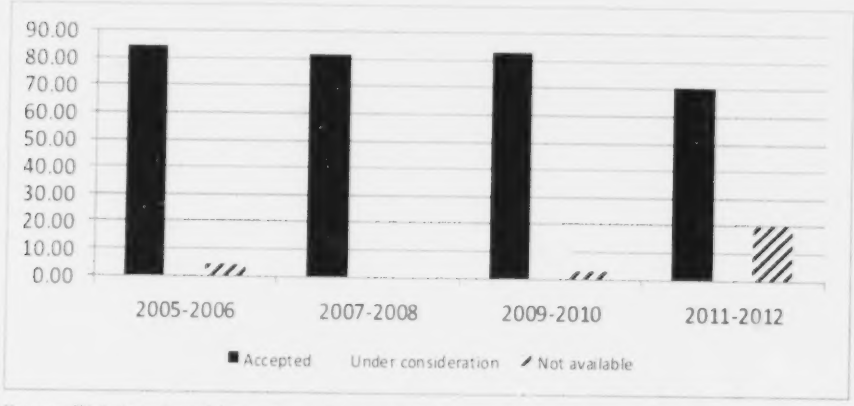
Single-organization reports and notes

Acceptance of recommendations

75. An analysis of available data concerning the recommendations contained in single-organization reports and notes issued between 2005 and 2012 as at the beginning of 2014 shows an average acceptance rate of 81 per cent for the entire period, as well as low average rejection rates of only 6 per cent (see fig. I). Acceptance rates for the biennium periods 2005-2006, 2007-2008 and 2009-2010 reflect a high average rate of over 80 per cent, while lower rates for the period 2011-2012 reflect the fact that one out of four single organization reports issued in 2012 (management and administration review of IAEA) were issued towards the end of the year and have not yet been responded to.

Figure I

Acceptance rates of recommendations contained in single-organization reports and notes, 2005-2012



Source: Web-based tracking system, January 2014.

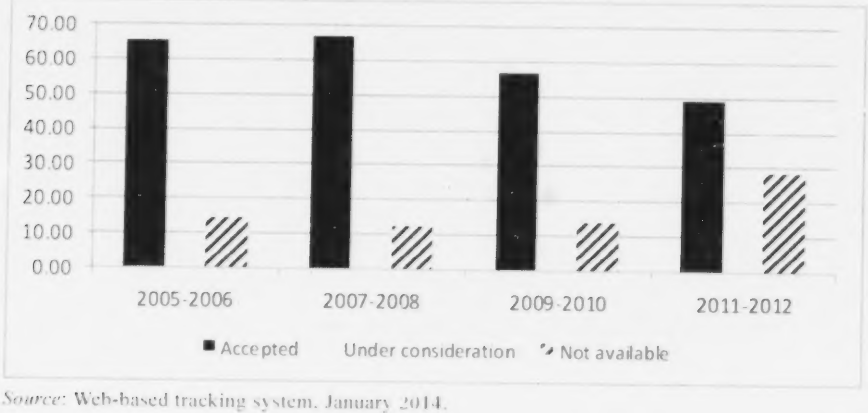
System-wide and several organizations reports and notes

Acceptance or approval of recommendations

76. An analysis of available data concerning the recommendations contained in system-wide and several organizations reports and notes issued between 2005 and 2012 as at the beginning of 2014 shows an average acceptance rate of 58 per cent for the entire period (see fig. II). Consistently strong performance regarding the status of acceptance (70 per cent and above) is reported for FAO, ICAO, UNDP, UNFPA, UNHCR, UNICEF, UNIDO, UNOPS, UNRWA and WFP.

Figure II

Acceptance rates of recommendations contained in system-wide reports and notes, 2005-2012



Source: Web-based tracking system, January 2014.

77. The relatively low overall rate of approval or acceptance of system-wide reports stems from various reasons. One of the reasons is that final information has not been provided for 27 per cent of the recommendations made during the period 2005-2012 (9 per cent were under consideration and information was not yet received for 18 per cent. The acceptance of system-wide recommendations takes longer than for single organizations, as it requires the comments of CEB and the involvement of the legislative bodies having their meetings on an annual basis). Furthermore, in many cases acceptance and implementation of recommendations require cross-departmental or top management-level consideration and action, which poses a difficulty for easy acceptance and implementation.

78. The acceptance rate of the Joint Inspection Unit recommendation contained in reports and notes increased over years. However, a constant obstacle is the lack of reaction of the governing bodies of the participating organizations on the recommendations addressed to them. For instance, while the rate of acceptance of recommendations addressed to the executive heads of UNICEF and UNFPA amounts to about 83 per cent, it only reaches 63 per cent for the recommendations addressed to the governing body.

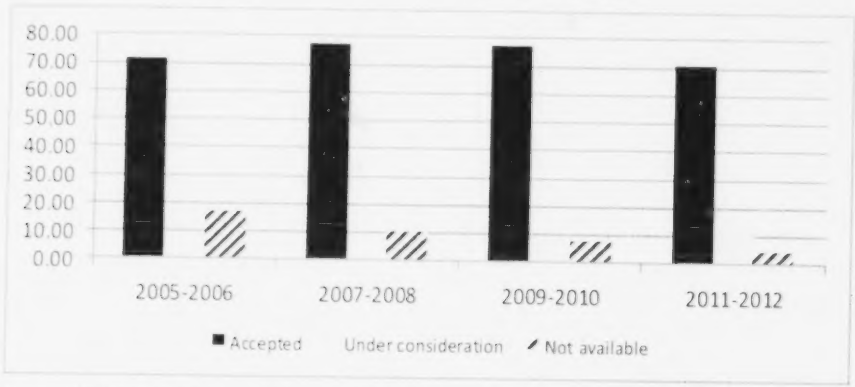
Higher recommendation acceptance rate of the eight largest participating organizations

79. Annex IV to the present report shows the aggregated acceptance and implementation rates by organization since the inception of the follow-up system, from 2005 to 2012, and is self-explanatory in terms of the commitment of each organization to the follow-up system. Closer analysis of the acceptance and implementation rates by organizations indicates that larger participating organizations tend to have higher acceptance and implementation rates. Indeed, according to figure III, the acceptance rate of the eight largest participating organizations is above the average acceptance rates system-wide. These organizations pay 4 per cent and more to the Unit budget and make up the 80 per cent of total contribution to the budget.[7]

[7] The Joint Inspection Unit budget is apportioned among participating organizations according to their budget size and number of staff.

Figure III

Acceptance rate of recommendations of the eight largest participating organizations for system-wide reports and notes, 2005-2012 (United Nations, UNDP, WFP, UNICEF, WHO, UNHCR, FAO and UNOPS)



Source: Web-based tracking system, January 2014.

80. According to the figure above, the acceptance rate of recommendations contained in system-wide reports and notes for the eight largest participating organizations was 75 per cent between 2005 and 2012. The rate of 2012 acceptance lowers the overall average with its 55 per cent acceptance rate, which is normal since many of the recommendations are still under consideration.

81. It is important to note that the eight largest participating organizations make up 80 per cent of all Joint Inspection Unit participating organizations in terms of budgetary contribution. Therefore, in the overall assessment, the acceptance and implementation rates of larger organizations should naturally have more weight.

Acceptance rate of the five smallest participating organizations

82. Indeed, in general, the smaller organizations have much lower acceptance and implementation rates. The acceptance rate of the five smallest organizations (IMO, ITC, UNWTO, UPU and WMO) during the 2005-2012 period is 36 per cent on average.

83. However, it is important to analyse the reasons behind the relatively lower acceptance and implementation rates of small organizations. Initial analysis leads us to consider that small organizations may have relatively less capacity to consider and implement recommendations that are not all relevant for the organization.

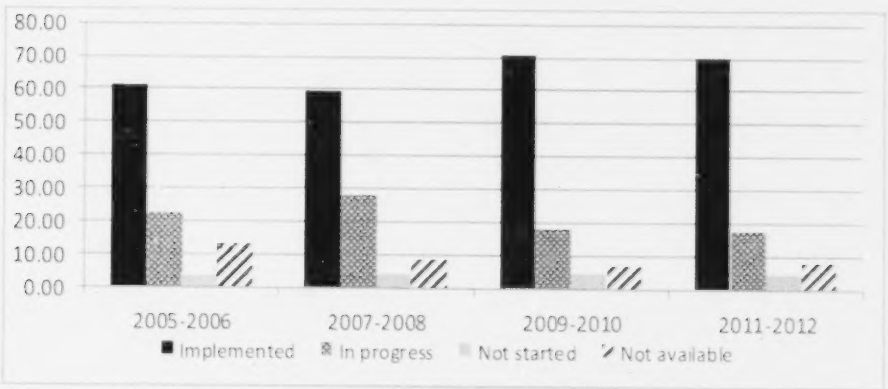
84. In view of the special difficulties of the five smaller organizations to fully accept and implement all the Joint Inspection Unit recommendations, as contained in its system-wide reports and notes, the Unit decided that, when soliciting substantive comments to the draft version of reports or notes to each of the five secretariats concerned, it will engage in a specific dialogue in order to ascertain the capabilities of the secretariat concerned to accept and implement the recommendations contained in the draft document; such a dialogue will take place before the deadline indicated for receiving factual corrections and substantive comments; the published version of the report or note will reflect those

recommendations, the implementation of which would be agreed upon to be beyond the capacity of the organization, as "for information" only, rather than "for action"; where proposed recommendations could not be agreed upon, the current practices would continue to apply. However, this issue needs to be analysed further in 2014.

Implementation of accepted recommendations of system-wide reports and notes (2005-2012)

85. The implementation rate of all system-wide recommendations was 67 per cent during the period 2005-2012, with the lowest (41 per cent) in 2005 and the highest (76 per cent) in 2010. The last two bienniums show implementation rates at around 70 per cent. Concerning the implementation of recommendations, FAO, ICAO, OHCHR, UNCTAD, UNESCO, UNFPA, UNOPS, UNRWA, UNWTO, WFP and WMO reported the highest rates.

Figure IV
Implementation of accepted recommendations of system-wide reports and notes (2005-2012)



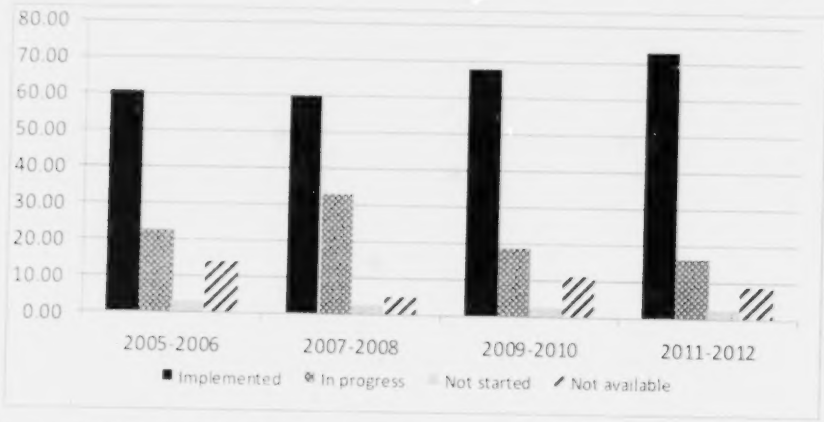
Source: Web-based tracking system, January 2014.

Implementation rate of the eight largest participating organizations

86. The implementation rates of the eight largest participating organizations were around 66 per cent on average for the period 2005-2012. In 2010 and 2011 implementation rates were 77 and 74 per cent, respectively. The low performance in 2005, with an average implementation rate of 41 per cent, affected the average performance over the past eight years. The implementation rate of the five smallest participating organizations for the period 2005-2012 reached 64 per cent on average.

87. Given that Joint Inspection Unit recommendations often address structural issues, challenge established policy and practices and propose new directions, hence requiring cross-departmental and top management-level decisions, the acceptance and implementation rates can be considered to be at an acceptable level. To obtain further improvements, the Unit is planning to make detailed analyses of data and is committed to increasing acceptance and implementation rates with close dialogue and interaction with organizations during report preparation and afterwards.

Figure V
Implementation rate of eight large participating organizations (2005-2012) (United Nations, UNDP, UNHCR, WFP, WHO, UNICEF, FAO and UNOPS)



Source: Web-based tracking system, January 2014.

88. The Joint Inspection Unit notes that one issue remains unaddressed. With respect to recommendations addressed to governing bodies, it should be noted that, in most instances, the governing bodies, after having considered the reports, "take note" of the recommendations without explicitly endorsing or rejecting them. Governing bodies are expected to carry out their governance role by deciding on a concrete course of action on recommendations and avoiding the ambiguity of the term "takes note", which renders the follow-up of recommendations difficult, as it indicates neither agreement nor disagreement and leads to no subsequent action. Good practice regarding explicit acceptance is demonstrated by the governing bodies of FAO, UNESCO, UNODC and WIPO.

G. Relationships with other oversight and coordinating bodies

89. The Joint Inspection Unit continued its active and regular interactions with other oversight and coordinating bodies in 2013, in particular with OIOS, the United Nations Board of Auditors and the Independent Audit Advisory Committee. The Unit took over the chairpersonship of the tripartite meeting of oversight bodies and organized the seventeenth tripartite meeting with the Board of Auditors and OIOS on 16 December 2013, at which the three bodies, as usual, presented and discussed their draft programmes of work for 2014 with a view to avoiding overlaps and duplication and achieving further synergy and cooperation. The tripartite also included a discussion of key oversight issues that present high-risk areas for the United Nations system, including fraud prevention and control, and discussed prospective collaboration in a number of areas, such as result-based management. Inspectors also frequently met with the internal and external oversight bodies of participating organizations as part of their report work.

90. The Joint Inspection Unit also attended as an observer the annual meetings of the United Nations Evaluation Group in New York in April 2013, the multilateral

financial institutions in Rome and the Conference of International Investigators in Tunis, both in September 2013. Participation in these forums strengthens collaboration at a system-wide level in the area of oversight, allowing the Unit to share experiences within these professional networks.

91. Regarding the interaction of the Joint Inspection Unit with CEB, more regular engagement at some meetings of its programme and management committees would be desirable. The Unit reiterates its interest in being invited as an observer to the relevant meetings of CEB. As mentioned earlier, interactions with the Committee for Programme and Coordination progressed in 2013; two Unit reports were submitted for consideration.

II. Resources

92. The approved human resources for the Joint Inspection Unit in 2013 remained at the same level, including 11 inspectors (D-2) (see annex VI; the Executive Secretary (D-2); 10 Professional staff posts dedicated to evaluation and inspection (2 at P-5, 3 at P-4, 3 at P-3 and 1 at P-2 level) and to investigation (1 P-3 level post), assigned to the 15 ongoing projects and other tasks; Senior Research Assistant (G-7) and 4 General Service (Other level) staff assigned as research assistants to several projects, and 2 General Service staff providing administrative, information technology, documentation management, editorial and other support to the Unit. Throughout the year, the Unit had a vacancy rate of zero. In addition, the Government of Germany continued to fund a Junior Professional Officer at the P-2 level for a third year, ending in September 2013.

93. Staff continued to enhance their professional competencies through participation in different professional trainings and other United Nations mandatory courses. The internship programme provided additional support capacity. The increased reliance on the work of interns to implement the programme of work is of concern as interns are only available for short periods of time.

94. In terms of financial resources, the budget allocated to the Joint Inspection Unit for 2013 was $6,968 million, of which 93 per cent was for staff costs, while the remainder was allocated for other expenditures, including temporary assistance, consultants, travel and operational costs. Resources allotted to travel for 2013 amounted to $280,600, equivalent to about 4 per cent of the overall annual allotment. Travel resources were mostly assigned to report preparation and in a very small amount to representation and outreach. While the Unit has made efforts to stay within budget, the lack of travel resources for reviews that would require extensive field visits has once more affected the selection and scope of reviews undertaken by the Unit, in particular when it is clear that the ambitions of a proposed review cannot be met within existing resources.

95. Like many other United Nations entities, the Unit has been affected by increasing resource constraints to the global financial crisis. While some of the impact has been mitigated by internal efficiency gains, the need to maintain the new web-based tracking system has further curtailed the ability of the Unit to use consultancy, because that limited consultancy resource has to be allocated for maintenance of the web-based tracking system in order not to lose the investment made in the new system, leaving zero funds for consultancy.

96. In its annual report for 2012 and throughout 2013, the Joint Inspection Unit called the attention of Member States to the current budget submission process, which entails an inherent conflict of interest and has led to a mostly stagnant Unit budget over the past 20 years, during a time when the overall budgets of the participating organizations have undergone manifold increases.

97. In the past, the General Assembly has requested the Secretary-General to reflect on the appropriate resource requirements associated with the Joint Inspection Unit medium- and long-term strategy approach and its implementation, in the context of the proposed programme budgets, including those relevant to the biennium 2012-2013; these requirements were omitted in the Secretary-General's submissions.[8]

98. The Joint Inspection Unit is of the firm position that its own budget proposal should be incorporated without any change into the overall budget estimates of the Secretary-General and submitted, with the comments of the Secretary-General and CEB, through the Advisory Committee on Administrative and Budgetary Questions to the Fifth Committee of the General Assembly for consideration. Only this process would ensure the full operational independence of the Unit, avoid conflict of interest situations and ascertain the accountability of the Unit to the General Assembly, as enshrined in its statute. A review of this process was also endorsed by the 2013 report of the Advisory Committee on Administrative and Budgetary Questions (A/68/7) and by the peer review panel. The Unit also recalls that the United Nations Secretariat accepted a recommendation to this effect in response to the Unit report on oversight lacunae in 2006 (see A/60/860/Add.1). The Unit looks forward to an informed debate and decision on this issue in the coming year and seeks the support of Member States in fully ensuring its independence from the management of organizations subject to its oversight.

99. In line with the 2013 decision of the Unit to conduct feasibility studies to prepare for complex and demanding issues to be included in its programme of work for 2014 and determine the extent of additional resources required to examine those complex issues, the Unit estimated that additional funds would be required to undertake the system-wide review on safety and security, for which the Unit intends to fundraise in early 2014. Both the self-evaluation and the peer review recommended that the Unit develop a resource mobilization strategy that permits to obtain extrabudgetary funding while safeguarding its independence, and without prejudice to the need for additional core resources. This will become a priority in the course of the year.

I. Recommendations of the Joint Inspection Unit

100. Member States should secure the investment into the web-based tracking system of the Joint Inspection Unit as approved in resolution 65/270, paragraph 21, and allocate the necessary $110,000 for the 2014-2015 period, while ensuring that future budgets reflect appropriate maintenance and upgrade costs.

101. Member States may wish to recall resolution 48/221, paragraph 12, of 23 December 1993, requesting "the Secretary-General and the executive heads of the participating organizations, without prejudice to article 20 of the statute of the

[8] See resolution 64/262, para. 15.

Joint Inspection Unit, to consider providing the Unit with extrabudgetary resources and programme support funds for specific activities of inspection, evaluation and investigation in those areas which are linked to those resources".

102. The Joint Inspection Unit invites Member States to consider that the Fifth Committee receives the original Unit budget submission jointly with CEB and the Advisory Committee on Administrative and Budgetary Questions comments.

103. Member States should consider providing the additional necessary resources for the optimal work of the Joint Inspection Unit in the light of the need for implementing the medium- and long-term strategy of the Unit for the 2010-2018 period in the context of future programme budgets.

104. The terms of office of four inspectors is ending at the end of 2015. The Joint Inspection Unit would benefit if newly appointed inspectors would bring senior level/high-quality inspection, evaluation and audit expertise to the Unit, in accordance with the Unit statute and General Assembly resolutions. The Unit invites Member States to consider this recommendation while selecting candidates, and hopes that greater consideration of qualified female candidates will be given.

J. Peer review panel recommendations

105. The President of the General Assembly should be advised by the Independent Audit Advisory Committee regarding the qualifications of candidates for inspectors' positions.

106. The General Assembly should request the Joint Inspection Unit to submit a job description for inspectors. A job description, even in draft form, should be posted on the Unit website and should be added to the notification of the Unit vacancies.

107. The Joint Inspection Unit budget should be increased to include additional funds for consultancies outreach and travel ($300,000 annually for travel to allow for four system-wide reviews, $480,000 annually for 24 person/months of consultancies for four system-wide reviews and $50,000 annually for outreach).

108. The Fifth Committee should receive the original Joint Inspection Unit budget submission jointly with the CEB and the Advisory Committee on Administrative and Budgetary Questions comments.

Chapter II
Programme of work for 2014

109. The programme of work of the Joint Inspection Unit for 2014 is prepared with an objective to address critical system-wide risks and reform issues in a more structured way. To this end, as described early in this report, in March 2013 the Unit launched an internal process aimed at better aligning its programme of work to the Unit long-term strategy for 2010-2019 and redefining the preparation process to better reposition the Unit within the United Nations agenda with the selection of more strategic topics. Until now the selection of topics has relied mostly on the input by the participating organizations, reflecting their perceptions of what the Unit could or should do, which in part explains the focus of the Unit on mainly administrative topics. This year the Unit drew a list of more than 20 potential strategic topics for the biennium 2014-2015, resulting from the work of the internal task force on strategic planning and covering a broader range of topics beyond a purely administrative approach, in line with the Unit long-term strategy. The list was sent for information to the participating organizations and the oversight and coordinating bodies in July 2013, together with the usual request for their additional proposals.

110. The Unit received 27 external suggestions, 25 of which were submitted by the participating organizations and 2 by the coordinating and oversight bodies. The shortlist of topics considered for discussion at the Unit session in December 2013 included 27 internally validated topics, preassessed against established criteria: 14 from the list of strategic topics, many of which had also been endorsed as highly relevant by participating organizations; 14 external (2 merged) topics; and 3 potential management and administration reviews.

111. At its resumed session in mid-January 2014, the Unit finalized the selection of the projects and adopted its programme of work for 2014 (see annex VI). The programme of work includes both administrative and programmatic and development-oriented inspections and evaluations intended to address critical risks and reform needs in the organizations. It includes 10 new projects, including 3 non-report projects and 1 mandated management and administrative review. Seven projects are of system-wide coverage and one covers specific departments of one single organization. In 2013 only one mandated management and administrative review was included, while two ongoing management and administrative reviews will be issued in early 2014. Considering the reports carried forward from 2013 and the new projects, the workplan for 2014 includes 18 projects, 3 of which are of non-report nature.

112. The Joint Inspection Unit intends to proceed with exploratory work on two additional topics that may be undertaken during the 2014-2015 biennium subject to the availability of resources and a determination of the scope of work. These topics are: (a) fraud prevention and detection in the United Nations system; and (b) the integrated global management of the United Nations conference services. A decision on whether to proceed with these topics will be taken in the summer/fall period of 2014, taking into account the results of further research on stakeholders' interests and consultation with other internal and external oversight bodies.

Review of safety and security in the United Nations system organizations

113. As a result of the feasibility study on safety and security (see para. 62) and considering that participating organizations continue to rate the issue as a high priority, a fully fledged report on safety and security in the United Nations system organizations is included in the current programme of work of the Unit. This study will be a follow-up to the 2008 report of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide entitled "Towards a culture of security and accountability". The review will be based on the inspection, both at Headquarters and field levels, of the conditions of security for the United Nations system personnel and worldwide premises. It will assess the aspects addressed by the recommendations of the above-mentioned report, which focused on such issues as the public image of the United Nations, the role of Member States, the roles of the Department of Safety and Security, the designated officials and security management team, and the role of the United Nations as an employer. It will cover areas such as accountability, financing, security system instruments, and the security professionals in the field and Headquarters.

System-wide review of result-based management in the United Nations system: development of maturity matrix and methodology for review of result-based management in 2015 (phase 1)

114. Result-based management is an integrated management strategy aimed at changing the way agencies operate with a central focus on achieving results. The Joint Inspection Unit has been a pioneer in advancing result-based management and culture in the United Nations system. Since 2004, it has issued reports and provided benchmarking frameworks that have been widely applied by organizations in the United Nations system. This project will assess advances made in result-based management in the United Nations system since 2004. It will assess the level of development or maturity in the implementation of result-based management in the participating organizations of the Unit. The first phase of the project to be carried out in this reporting period in 2014 will focus on expanding the Unit benchmarking framework to develop a comprehensive and coherent maturity matrix for assessing result-based management. The maturity matrix will not only indicate the level of achievement of benchmarks, but also the formative stage of development of result-based management in achieving the benchmarks. The matrix will subsequently be validated and used during the second phase in 2015 to assess progress in result-based management in a concrete and standardized manner and in ways valid for various type organizations. The first phase will also provide an approach paper with a well-defined scope, design and plan for review of the result-based management system in 2015.

Review of public information policies and practices in the United Nations system

115. Building on Joint Inspection Unit reports that were produced decades ago on selected aspects of "public information", the review will undertake a comparative analysis of related policies, strategies, practices and challenges at Headquarters and in the field, within the Department of Public Information of the Secretariat and its various counterparts across the system. While recognizing that the situation varies from one entity to the other, the report will look at the areas where commonalities exist, good practices can be shared and synergies can be developed, with a view to updating and improving the organizations' capacity to provide (through their general

work, strategic communications and outreach activities) accurate, impartial, comprehensive, balanced, timely and relevant information to Member States and to the public, bearing in mind the cost for the organizations' and its overall budgetary implications. This would step up support for their activities with greater transparency, cooperation and coordination, and help in improving the overall credibility, reputation, perception and image of the United Nations as a whole within and outside the system.

A comprehensive review of activities and resources allocated to climate change within the United Nations system

116. This review responds to a suggestion made by UNEP and supported by a significant number of participating organizations. Almost all of the organizations within the United Nations system and related NGOs have been addressing the climate change issue. Its impact is cross-cutting throughout a variety of sectors such as energy, agriculture and fisheries to name a few. The organizations have been developing and implementing activities on this issue with a significant amount of resources growing at a phenomenal pace. Interdisciplinary intervention by a myriad of competitive efforts at assessment and studies, policymaking, capacity development and investment initiatives risks falling into duplicative use of the resources. The review will identify and analyse the available multilateral financial mechanisms that provide the organizations with resources devoted to the mitigation of and the adaptation to climate change with a view to ensuring synergy and integral governance among them.

Benchmarking framework for management and administration reviews in the United Nations system organizations

117. Among the activities of the programme of work for 2014 that will not result in reports or notes is a project that will be dedicated to the analytic, accounting, statistical and methodological tools to be used by the current and future Joint Inspection Unit inspectors to assess and measure the situation in each and every area of the management and administration of the international organizations. Such work, bearing in mind a result-based management perspective, will make use of the scientific and research resources to be found in the public and private sectors, national and international academic and practical literature from universities, as well as the professional oversight community.

Contract management and administration

118. Contract management is understood as the process to ensure that all parties to a legally binding agreement (contract) meet their respective obligations as efficiently and effectively as possible. A large amount of the United Nations system funds is expended through contracts that vary in terms of type, value, duration and complexity. Some United Nations organizations address the management of these contracts as part of their overall procurement function; others address it as a separate function that starts after contracts have been signed. Irrespectively, effective management of contracts is an important function in all organizations for maximizing benefits and minimizing associated risks. It requires good governance structures, adequate contract management processes and guidelines, solid accountability frameworks and good management teams. This review, proposed by the United Nations Secretariat in 2013 and by ECA in 2014, will address the

methods and practices used by United Nations organizations across the system to manage various types of goods and services contracts, with a view to identifying good practices and areas for improvement and explore possibilities for harmonization and standardization of contract management policies and procedures.

Review of the system-wide implementation of initiative for full and productive employment and decent work for all

119. The Economic and Social Council, convinced of the urgent need to create an environment at national and international levels conducive to the attainment of full and productive employment and decent work, in its 2006 ministerial declaration, expressed support for the Decent Work Initiative of the International Labour Organization. Recommendations were made on how to translate the goals of the initiative into United Nations system policy and operational frameworks and strengthen the United Nations system's analytical and programmatic support to countries in making these goals a priority. The objective of the review is to evaluate/review how the United Nations, its funds and programmes and specialized agencies have taken up the call from the Council to promote and mainstream decent work principles in their own strategic planning and work. Suggested by ILO, the evaluation will be done on a sample of countries with United Nations programming frameworks against the evaluation criteria of effectiveness, relevance, coherence and impact.

Management and administration review of the Office of the United Nations High Commissioner for Human Rights

120. The Human Rights Council, in its resolution 22/2, adopted in early March 2013 and endorsed by the General Assembly at its sixty-eighth session in December 2013, requested the Joint Inspection Unit "to undertake a comprehensive follow-up review of the management and administration of the Office of the United Nations High Commissioner for Human Rights, in particular with regard to the impact on the recruitment policies and the composition of the staff, and to submit a report thereon and containing concrete proposals for the implementation of the present resolution to the Human Rights Committee at its twenty-seventh session". The mandated review will take full account of the previous four reviews of OHCHR; however, it will seek to go beyond them and undertake a comprehensive administrative and management review of OHCHR operations, which has not been done so far. It will focus on, among other things, governance, programme planning and implementation, human resources management, budget, finance, organizational structure and executive management, knowledge-sharing, use of information and communications technologies, technical cooperation and capacity-building, functioning of regional offices and oversight. As the review is unlikely to be finalized in time for the twenty-seventh session of the Council in September 2014, the Unit expects to submit the report to the Council at its twenty-eighth session, in March 2015.

Effectiveness of regional interface mechanisms for governance: coordination among regional commissions

121. The performance of regional commissions is important to the success of the United Nations in promoting and strengthening regional and interregional cooperation and advancing the pursuit of the goals of the organization, especially

those relating to the post-2015 United Nations development agenda. Coordination among the commissions and the mechanisms for their governance interface are particularly significant in this context. The study will address the effectiveness of the existing interface among the regional commissions, with a view to identifying ways to improve it; similarly, it will examine the effectiveness of the coordination mechanisms. The relations with other regional stakeholders will be explored insofar as they relate to the interface and the coordination issues. The review will seek to identify ways of promoting greater synergy and collaboration among the regional commissions and enhancing their contribution in the implementation of key decisions pertaining to their mandates, including, inter alia, resolution 66/288, "The future we want", which recognizes the significant role of the regional commissions in promoting a balanced integration of the economic, social and environmental dimensions of sustainable development in their respective regions.

Support to independent system-wide evaluation — start-up

122. At its sixty-eighth session, the General Assembly noted the policy for independent system-wide evaluation of United Nations operational activities for development prepared by the interim coordination mechanism for system-wide evaluation of operational activities for development of the United Nations system, and decided in that regard that "two pilot independent system-wide evaluations shall be conducted in 2014, subject to the provision and availability of extrabudgetary resources" (see A/68/443/Add.1, para. 9).

123. The Joint Inspection Unit will participate in the pilot evaluations proposed in the resolution consistent with the policy requirements. The Unit will carry out a number of preparatory activities throughout 2014, including the establishment of the interim secretariat of the independent system-wide evaluations for operational activities for development, working with the interim coordinator mechanism to develop plans for the pilot, engaging Member States and interested partners on the independent system-wide evaluations for operational activities for development; the mobilization of resources, financial and expertise; and the setting up of the trust fund of the independent system-wide evaluations for operational activities for development.

Non-report work for 2014

124. Non-report activities will continue to play an important role in 2014. Two major activities are envisaged to be pursued: (a) the follow-up to the self-evaluation and the peer review through the implementation of the action plan; and (b) the setting up of the secretariat of the independent system-wide evaluations for operational activities for development, fundraising for the two pilots and the start-up of at least one of the pilots. Both activities will be led by an inspector; in the case of the action plan, it will be the Joint Inspection Unit Chair who will drive the reform-focused agenda of the action plan, including improvement of business processes, improved quality assurance, training programmes for inspectors and staff, a resource mobilization strategy, a communications strategy and improvements to the web-based tracking system, among other items.

Annex I

Recommendations of the peer review panel

1. Election of inspectors

Panel recommendation	*Addressed to*	*Timeline*	*Additional budget required (United States $)*	*Joint Inspection Unit response*
1. The President of the General Assembly should be advised by the Independent Audit Advisory Committee regarding the qualifications of candidates for Inspector positions.	Member States	2014		Addressed to Member States
2. CEB should review and comment on qualifications for all proposed candidates for inspector positions in a timely fashion and advise the President of the General Assembly accordingly.	CEB	2014 onward		Addressed to Member States
3. The General Assembly should request the Joint Inspection Unit to submit a job description for inspectors. The job description, even in draft form, should be posted on the Unit website and added to the notification of Unit vacancies.	General Assembly	2014 onward		Addressed to Member States
4. The Joint Inspection Unit should identify upcoming inspector vacancies in its annual report, specifying any particular skill needs (e.g., for investigations, evaluation, etc.) in line with its current composition.	Joint Inspection Unit	2014 onward		Accepted
5. All Joint Inspection Unit inspector vacancies should be publicized at a minimum on the iSeek webpage for diplomatic missions in New York at the beginning of the year in which they will be decided, as well as on the Unit website.	Joint Inspection Unit	2014 onward		Accepted in relation to the Unit website

2. Budget

Panel recommendation	*Addressed to*	*Timeline*	*Additional budget required (United States $)*	*Joint Inspection Unit response*
1. The Joint Inspection Unit budget should be increased to include additional funds for consultancies outreach and travel.	Member States	2014 onward	$300,000 per year for travel to allow for four system-wide reviews; $480,000 per year for consultancies (for 24 person/months of consultancies for four system-wide reviews); $50,000 per year for outreach	Addressed to Member States
2. The Fifth Committee should receive the original Joint Inspection Unit budget submission with CEB and Advisory Committee on Administrative and Budgetary Questions comments.	General Assembly	2014 onward		Addressed to Member States
3. The Joint Inspection Unit should develop a resource mobilization strategy, ensuring that this strategy minimizes its risk to independence.	Joint Inspection Unit	2014 onward		Accepted

3. Focus, production and use

Panel recommendation	*Addressed to*	*Timeline*	*Additional budget required (United States $)*	*Joint Inspection Unit response*
1. The Joint Inspection Unit should reduce the number of reports it produces by two in 2014, and reallocate resources to increase capacity development; quality assurance; outreach; and resource mobilization. The number of reports for subsequent years should be determined on the basis of the budget.	Joint Inspection Unit	2014		Accepted
2. The Joint Inspection Unit should: (a) proactively select review topics that are of strategic importance and reduce risk to the United Nations; and (b) focus on system-wide priorities such as the Secretary-General's five year agenda and the CEB strategic plans, as well as mandates from the General Assembly and the legislative bodies/governing bodies/executive bodies boards of the participating organizations.	Joint Inspection Unit	2014 onward	Dependent on subject of review	Accepted, in accordance with priorities as determined by Member States
3. The Joint Inspection Unit should participate in pilot system-wide operational activities for development evaluations only if adequate funding and capacity are available.	Joint Inspection Unit	2014 onward	Dependent on the selection of a system-wide evaluation pilot	Accepted
4. Outreach should include marketing (e.g., formal launch, brown bag lunches, flagship document report); branding; iterative follow-up to report recommendations through visits to participating organizations; and greater presence in New York.	Joint Inspection Unit	2014 onward	$50,000 per year, as included in the additional budget above	Accepted. Implementation depends on the provision of necessary additional budget
5. The Joint Inspection Unit should continue to maintain a modest stand-by capacity in investigations, without major investment or assuming lead responsibility.	Joint Inspection Unit	2014 onward		Accepted

4. Quality assurance, communications, and working methods

Panel recommendation	*Addressed to*	*Timeline*	*Additional budget required (United States $)*	*Joint Inspection Unit response*
1. Quality assurance should start earlier in the report production process, and greater external expertise should be brought in, including peer reviewers.	Joint Inspection Unit	2014 onward		Accepted. Depending on the specificity of the project and resources required
2. The Joint Inspection Unit should continue to build inspectors' and staff expertise, particularly in utilization-focused evaluation, and recognize staff excellence.	Joint Inspection Unit	2014 onward	$20,000 per year for capacity development	Accepted. Implementation depends on the provision of additional budget
3. The Joint Inspection Unit should institute the One80 review process for inspectors and the Executive Secretary.	Joint Inspection Unit	From 2014 onward		Accepted in principle; modality to be determined in line with Joint Inspection Unit statute
4. The Joint Inspection Unit should adopt a rolling two-year planning cycle with budgetary projections for a two-year period including diversified activities, maintaining flexibility to introduce emerging topics as required.	Joint Inspection Unit	From 2014 onward		Accepted
5. The Joint Inspection Unit should introduce a working group on methodology including inspectors and staff (e.g., around management and administrative reviews).	Joint Inspection Unit	From 2014 onward		Under consideration of Unit internal procedures working group
6. There should be collective responsibility for the programme of work results, and reports should be issued in the name of the Unit, rather than individual or inspectors.	Joint Inspection Unit	From 2014 onward		Under consideration of Unit internal procedures working group
7. The Bureau should be expanded to include the past Chair and the Executive Secretary, terms of reference for the Chair and Vice-Chair should be developed, and the Bureau should take on tasks related to Unit reform, such as outreach and selection of topics.	Joint Inspection Unit	From 2014 onward		Under consideration of Joint Inspection Unit internal procedures working group

Annex II

Status of implementation of the workplan for 2013 as at 31 December 2013

Project title[a]	*Symbol/completion date*
Management and administration review of WIPO	To be completed early in 2014
Follow-up inspection of the management and administration review of UNWTO	To be completed early in 2014
Management letter to the United Nations World Tourism Organization	ML/2013/01
Analysis of the resource mobilization function in the United Nations system	To be completed early in 2014
Use of non-staff and related contractual modalities in the field offices of United Nations system organizations	To be completed early in 2014
Selection and appointment process of the United Nations Resident Coordinators, including preparation, training and support provided to their work	JIU/REP/2013/3
Management of implementing partners in the United Nations system	JIU/REP/2013/4
Good practices in the management of capital/construction/refurbishment projects across the United Nations system	To be completed early in 2014
Analysis of the evaluation function in the United Nations system	To be completed early in 2014
Use of retirees and staff beyond retirement age in United Nations system organizations	To be completed early in 2014
Review of environmental governance in the United Nations system after the conclusion of the United Nations Conference on Sustainable Development	To be completed early in 2014
Feasibility study on a review of the United Nations special political missions	Completed
Feasibility study on a review on safety and security	Completed
Review of management and administration in ECLAC	JIU/NOTE/2013/2
Reference checks in the United Nations system organizations	JIU/NOTE/2013/1
Records and archives management in the United Nations	JIU/REP/2013/2
Review of long-term agreements in procurement in the United Nations system	JIU/REP/2013/1
Review of system-wide joint programming and administrative arrangements of operational activities in the United Nations system	Cancelled

[a] Reports and notes are available at www.unjiu.org.

Annex III

List of contributing organizations and their percentage share in the costs of the Joint Inspection Unit for 2014-2015

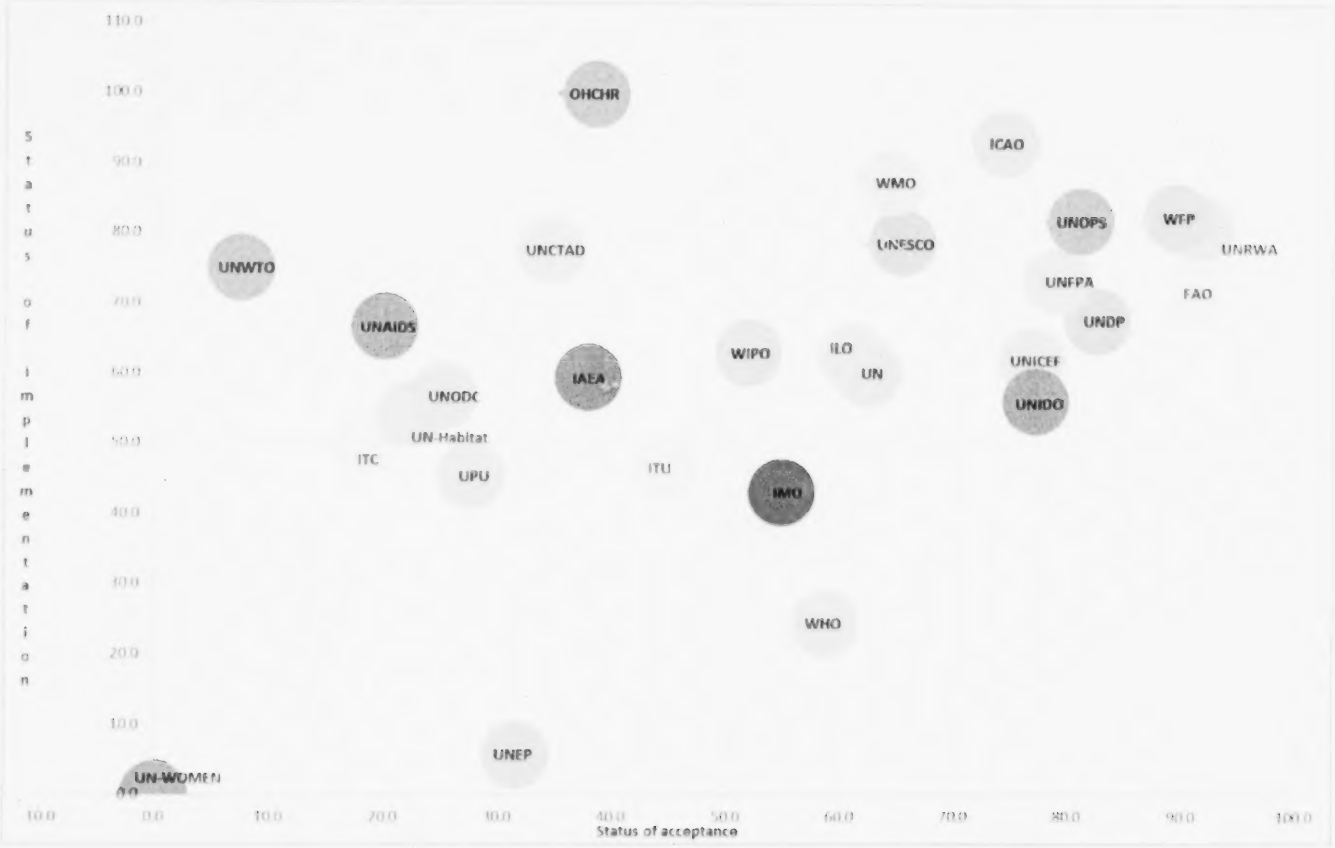
Organization	*Percentage*
FAO	4.9
IAEA	1.8
ICAO	0.7
ILO	2.0
IMO	0.2
ITU	0.7
PAHO	3.0
UNAIDS	1.0
UNDP	18.9
UNESCO	2.9
UNFPA	2.8
UNHCR	6.7
UNICEF	12.4
UNIDO	0.8
United Nations	13.7
UNOPS	4.1
UNRWA	1.9
UN-Women	0.7
UNWTO	0.1
UPU	0.2
WFP	12.2
WHO	6.9
WIPO	1.1
WMO	0.3

Preliminary amounts based on the proposed budgets for the biennium 2014-2015, as endorsed by the Finance and Budget Network (document CEB/2013/HLCM/FB/9) are subject to recosting and decisions of the Advisory Committee on Administrative and Budgetary Questions and the General Assembly. The United Nations entry includes United Nations, UNITAR, ITC, ICSC, International Court of Justice, United Nations Joint Staff Pension Fund, United Nations University and excludes: United Nations Compensation Commission, International Criminal Tribunal for Rwanda, International Tribunal for the Former Yugoslavia and Department of Peacekeeping Operations.

Annex IV

Aggregated status of acceptance and implementation of the Joint Inspection Unit recommendations by participating organizations, 2005-2012

(Percentage)



Annex V

Composition of the Joint Inspection Unit

1. The composition of the Joint Inspection Unit for 2013 was as follows (each inspector's term of office expires on 31 December of the year indicated in parentheses):

Istvan Posta (Hungary), Chair (2015)

Cihan Terzi (Turkey), Vice-Chair (2015)

Gopinathan Achamkulangare (India) (2017)

George A. Bartsiotas (United States of America) (2017)

Gerard Biraud (France) (2015)

Jean Wesley Cazeau (Haiti) (2017)

Papa Louis Fall (Senegal) (2015)

Jorge T. Flores Callejas (Honduras) (2016)

Tadanori Inomata (Japan) (2014)

Sukai Prom-Jackson (Gambia) (2017)

Gennady Tarasov (Russian Federation) (2017)

2. In accordance with article 18 of its statute, which provides that each year the Unit shall elect from among its inspectors a Chair and a Vice-Chair, on 3 December 2013 the Unit elected its Bureau as follows:

Cihan Terzi (Turkey), Chair

Jorge T. Flores Callejas (Honduras), Vice-Chair

Annex VI

Programme of work for 2014*

Project No.	*Title*	*Type*
A.394	Review of safety and security in the United Nations system organizations	System-wide
A.395	System-wide review of result-based management in the United Nations system: development of maturity matrix and methodology for review of result-based management in 2015 (phase 1)	System-wide
A.396	Review of public information policies and practices in the United Nations system	System-wide
A.397	A comprehensive review of activities and resources allocated to climate change within the United Nations system	System-wide
A.398	Benchmarking framework for management and administration reviews in the United Nations system organizations	Non-report
A.399	Contract management and administration	System-wide
A.400	Review of the system-wide implementation of full and productive employment and decent work for all	System-wide
A.401	Management and administration review of OHCHR (mandated)	Single
A.402	Effectiveness of regional interface mechanisms for governance: coordination among regional commissions	Single
A.403	Support to independent system-wide evaluation — start-up	Non-report

* Subject to change during the year.

Annex VII

Norms and Standards for Inspection, Norms and Standards for Evaluation and General Principles and Guidelines for Investigations

Joint Inspection Unit of the United Nations System
Independent system-wide evaluation, inspection, investigation

Norms and Standards for Inspection,
Norms and Standards for Evaluation
and
General Principles and Guidelines for
Investigations

These three documents set out the Norms and Standards for Inspection [2013], the Norms and Standards for Evaluation [2012] and the General Principles and Guidelines for Investigations [2013] in the Joint Inspection Unit [JIU].

The preparation of these documents follows the decision of the Unit to review the Standards and Guidelines of JIU, adopted and published as A/51/34 Annex I in 1997, in the light of its own experience and to take appropriate account of the developments and current practices. Thus, these documents derive from the relevant parts of the statute [1976] and the JIU Standards and Guidelines [1997]. They also take into consideration, as appropriate, the prevailing oversight methodologies and practices applied in the United Nations system and other international fora. The Standards and Guidelines of JIU would stand modified to the extent reflected in these documents in respect of inspection, evaluation and investigations.

For the most part, these documents reflect existing JIU practices, quality standards and policies, supplemented by the Internal Working Procedures of the Unit [IWP] [2011]. As such, they should be seen as living documents complementing the JIU Statute and the Internal Working Procedures, and shall be revised as needed, to reflect actual practice and experience, as well as changing practices in the fields of inspection, evaluation and investigations.

Geneva, October 2013

Contents

NORMS AND STANDARDS FOR INSPECTION

Inspection Norms

Inspection Standards

Institutional Framework

Competencies and Ethics

What is to be Inspected

Deciding on an Inspection

The Inspection Process

Finalization

Output Production/Utilization

NORMS AND STANDARDS FOR EVALUATION

Evaluation Norms

Evaluation Standards

Institutional Framework

Competencies and Ethics

Deciding on an Evaluation

The Evaluation Process

Finalization

Report production/Utilization

GENERAL PRINCIPLES AND GUIDELINES FOR INVESTIGATIONS

Mandate, Scope, Definitions and Sources of Information

A. Mandate and Scope

B. Definitions

C. Sources of Information

Investigation Standards, Process and Confidentiality

A. Standards

B. Investigation Process

C. Confidentiality

Investigation Outcome

Joint Inspection Unit of the United Nations System
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Norms and Standards for Inspection

NORMS AND STANDARDS FOR INSPECTION

I. INSPECTION NORMS

N1. Definition of Inspection[1]

An inspection is an independent and objective review, including an on-site one, of the internal governance, management and/or operations of organization(s) or part(s) thereof to determine the extent to which they are performing as expected and to identify good practices and opportunities for improvement. An inspection examines the functioning of processes, activities or policies to verify their economy, effectiveness and efficiency. It compares processes, activities, projects, programmes and policies to predetermined criteria and norms (e.g. applicable rules and regulations, internal administrative instructions, benchmarks, organization-specific and/or UN-wide performance indicators, good operational practices of other units within or outside the organization(s) concerned), and does so taking into account the need for optimum use of the resources allocated to them.

N2. Responsibility for Inspection

General Assembly resolution 31/192 (22 December 1976) established the Joint Inspection Unit (JIU) and approved the statute of JIU, with effect from 1 January 1978. The statute (Chapter III) sets out the functions, powers and responsibilities including responsibility for inspections and contains JIU's overall policy framework. The General Assembly has recognized JIU as the only independent external oversight body of the United Nations system mandated[2] to conduct system-wide inspections, evaluations and investigations.

N3. Independence and Impartiality

Article 7 of the JIU statute states that "the Inspectors discharge their duties in full independence and in the sole interest of the organizations". The Inspectors are committed to independence and shall be free from external influence from any country or organization. The independence of JIU is guaranteed, *inter alia*, through the process of selection and appointment of the Inspectors as set out in the JIU statute.

JIU undertakes all stages of the inspection process in an impartial manner that is free from bias. This includes taking into account the pertinent views of stakeholders, as appropriate, through the inspection process. Stakeholders are invited to share their views and comments on substantive matters.

N4. Utility and Intentionality

Inspections[3] prepared by JIU originate primarily from the following three sources: a) mandates received from General Assembly and other corresponding legislative bodies of United Nations system organizations; b) suggestions made by executive heads of participating organizations and the bodies of the United Nations system; c) internal proposals of JIU on topics selected in line with the JIU Strategic Framework. General Assembly resolutions have called on JIU to prioritize proposals on management, administrative and programming questions (A/RES/50/233), those aimed at improving management and methods and promoting greater coordination between organizations (A/RES/59/267) and reports on system-wide issues of interest and

[1] From JIU Standards and Guidelines (A/51/34/Annex I), para 10.

JIU often uses the generic term "review" to describe a range of products, including inspections, evaluations and good practice studies.

[2] A/RES/54/16, A/RES/59/267 reaffirmed 54/16, A/RES/64/262.

[3] Results of JIU inspections can be issued in the form of reports, notes or management letters.

relevance to the participating organizations and the States Members of the United Nations and other United Nations system organizations and to provide advice on ways to ensure the avoidance of duplication and overlap and more efficient and effective use of resources in implementing the mandates of the Organization (A/RES/64/262, op. para. 8).

Inspections conducted by JIU shall have clear potential to contribute to one or more of the following impact categories: **a:** enhanced transparency and accountability; **b:** dissemination of good practices; **c:** enhanced coordination and cooperation; **d:** strengthened coherence and harmonization; **e**: enhanced controls and compliance; **f:** enhanced operational effectiveness; **g:** significant financial savings; **h:** enhanced operational efficiency.

They should serve as an integral input to the policy-making and management process of the United Nations system organizations covering planning, programming, budgeting, performance and results. They should result in the identification of good and bad practices as well as corrective action, as appropriate.

Applying consistent indicators and benchmarks to all POs being inspected would enable comparison between the organizations and show where each stands in a numbers of areas. It could help to create incentives for greater operational efficiency and effectiveness, and finding areas for coordination and collaboration (including sharing of good practices).

The utility of JIU reports, recommendations and effectiveness of follow-up on recommendations is a shared responsibility of JIU, its participating organizations and Member States. Executive heads of UN system organizations ensure that recommendations of JIU approved/accepted by their respective competent organs are fully implemented as expeditiously as possible.

N5. Integrity and Ethics (Due care)

JIU teams are required to possess the highest standard of integrity in performing their duties. The Inspectors are bound by *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission* adopted by the General Assembly in its resolution 56/280. They should respect the beliefs and the social and cultural environment in which they work and be mindful of the potential implications of these differences when planning, carrying out and reporting on inspections. JIU conducts inspections in full observance of the United Nations Charter and without discrimination and with due respect to internationally recognized instruments of human rights.

JIU is committed to respect the right of organizations/entities and individuals to provide information in confidence and ensure that sensitive data cannot be traced to their source. JIU is committed to ensure that those involved in inspections have the opportunity to examine the statements attributed to them.

N6. Quality

JIU plans, designs and conducts its work in a manner that ensures high quality, which is defined as accuracy, added value, clarity, fairness, objectivity and significance.

N7. Transparency and Consultation

JIU is committed to transparency and to publishing results of its inspections.

JIU holds consultation with the relevant stakeholders in the inspection process. System-wide stakeholders and experts may be consulted, as feasible and appropriate, in the planning, design, conduct and follow-up of the inspection reports. The JIU teams will, as possible, take stock of sessions, meetings or conferences organized by external specialists on subjects related to their own project topic. Exceptionally, and provided funding is available for this, the JIU report coordinator may call for an enlarged brainstorming session open to competent

secretariat officials of the participating organizations and of any other pertinent expert network where the teams shall share initial findings, potential benchmarks and conclusions and shall exchange views on the subject. The inspection Terms of Reference are made available at the beginning of the inspection process as appropriate. Stakeholders are invited to comment on the draft inspection report. These comments will be considered before finalizing the inspection report, as appropriate.

While it is preferable to consult with an organization prior to an inspection, the inspectors may decide to undertake an inspection with or without prior notification.

VI. Validity

Prior to deciding upon an inspection, a *validation* is conducted by JIU based on mandates, suggestions and proposals received. The validation is conducted to establish whether the functioning of a process, activity, project, programme or policy implementation needs to be inspected.

VII. Competencies for Inspection

The JIU inspection team should comprise relevant professional background, qualification and/or training in oversight and to continuously update their skills set. JIU is equipped with the full range of up-to-date methodologies, which may include system-wide based techniques and analytical review methods including surveys.

VIII. Follow-up to Inspection

JIU has established a systematic process for tracking each step taken towards the consideration of inspection reports by the appropriate legislative organs and/or executive heads, including measures taken by secretariat officials. JIU maintains a database for recording and tracking the follow up of recommendations of JIU inspections. JIU has established a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow up.

IX. Contribution to Knowledge Building

JIU is responsible for maintaining a depository of recommendations and disseminating good practices. The JIU website is used as the main vehicle for knowledge sharing and for developing user-friendly inspection products. As appropriate, opportunities will be identified to share inspection reports/results, good practices as well as other useful by-products of the performed inspection research with stakeholders.

The JIU inspection reports are sent out to all executive heads concerned indicating whether they are for action or for information. Upon receipt of inspection reports, the executive head or those concerned distribute them immediately, with or without their comments, internally and externally to the Member States of their respective organizations.

II. INSPECTION STANDARDS

A. INSTITUTIONAL FRAMEWORK

1.1 The JIU statute governs the Unit's oversight functions (evaluation, inspection and investigation) and provides JIU with a clear mandate for system-wide inspection. As such, the JIU statute contains its overall inspection policy. It is complemented by a set of "Internal Standards and Guidelines" and the Internal Working Procedures for conducting the day-to-day work of the JIU including inspections.

1.2 JIU performs its function in respect of and is responsible to the United Nations General Assembly and the legislative/governing bodies of those specialized agencies and other international organizations within the United Nations system which have accepted the JIU statute[4] referred to as the participating organizations. JIU is a subsidiary organ of the United Nations General Assembly and the legislative/governing organs of its participating organizations in accordance with the JIU statute.

1.3 The JIU Strategic Framework provides strategic guidance to the work of the Unit. The annual programme of work[5] is established after consultation with legislative/governing bodies of participating organizations, the executive heads of participating organizations, as well as the organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and inspection. It is presented to the Member States, executive heads and other relevant bodies as per article 9.2 of the statute. The programme of work takes into account JIU overall experience, assessment of priorities and availability of resources.

1.4 JIU shall first consider requests by legislative organs. It shall fully take into account the changing priorities and needs of the participating organizations. It will also give due consideration to a number of factors, such as adequate mix of system-wide, multi-organizational and single-organization reports, in particular inspections/reviews of management and administration of organizations. System-wide reports will include reports on issues which are of common concern to all organizations and for which solutions require concerted action and a collective approach through the CEB machinery, including reports for which individual solutions to common problems must be devised for each organization. As per request by the General Assembly, JIU focuses on system-wide issues of concern to participating organizations and their legislative bodies.

1.5 JIU has mechanisms for the dissemination, handling[6] and follow-up[7] of inspection reports with participating organizations and receives information on acceptance and implementation of its recommendations on a regular basis from them and shares the overall results in its annual report.

1.6 JIU inspection reports are available on the JIU website (www.unjiu.org).

[4] As of October 2013: FAO, ITC, IAEA, ICAO, ILO, IMO, UNAIDS, ITU, UNCTAD, UNDP, UNEP, UNESCO, UNFPA, UNHCR, UN-Habitat, UNICEF, UNIDO, UNOPS, UNODC, UNRWA, UN WOMEN, UNWTO, UPU, WFP, WHO, WIPO, WMO.

[5] Article 9 of the statute.

[6] Article 11 of the statute.

[7] Article 12 of the statute.

2. COMPETENCIES AND ETHICS

2.1 The JIU teams should comprise core inspection competencies and professional experience in inspection and/or oversight. They are required to have, or to acquire relevant experience and/or training in inspection and to continuously update their skills set.

2.2 The JIU teams should act with integrity and objectivity in their relationship with all stakeholders. They should ensure that their contacts with individuals/officials are characterized by respect, including the protection of the anonymity and confidentiality of individuals.

2.3 The Inspectors are accountable for the overall conduct of the inspection and its final product.

3. WHAT IS TO BE INSPECTED

3.1 Standard inspections include, *inter alia*, reviews and assessments of processes, activities, projects, programmes or policy implementations, on a system-wide or organization-specific basis.

3.2 Ad-hoc inspections include, *inter alia*, on-site review of a specific problematic and/or high risk management or policy issue that has come to the attention of the Inspectors in the participating organizations, whether at headquarters or in the field.

4. METHODOLOGY AND INSPECTION

Validation

4.1 The validation exercise is conducted in accordance with Norm 8 above. An internal standard validation template is used. The validation is conducted to establish if the relevant information and data for an inspection are available and can be obtained within the timing of the inspection and with the cooperation and interest of the stakeholders.

4.2 The validation takes into account, *inter alia*, the following aspects:

- Does the proposal duplicate any previous or ongoing oversight work?
- Is this an important topic for system-wide coherence and coordination?
- Is there any potential for efficiency gains?
- Does it contribute to key UN initiatives?
- Does the proposal address critical management, administrative and programming questions, including risk management, control and governance issues?
- Is the proposal aimed at improving management and administrative methods?
- Are there existing benchmarks that can be utilized or would these have to be established?
- Are there major changes in the organizational context?
- Does the proposal promote greater coordination among the participating organizations?
- Can it be done within existing resources and, if not, will XB be provided by the suggesting entity?
- Does it address/seek to mitigate risks identified by JIU and/or brought to its attention?
- Does it address alleged wrong-doing or non-compliance identified by or brought to the attention of the Unit?

5. THE INSPECTION PROCESS

5.1. JIU applies the following indicative yardsticks for its inspections. Their duration as well as the type of output (report, note, management or confidential letter) varies according to complexity, nature (single organization, several organizations or system-wide), available resources and other specific considerations:

Phase 1	Phase 2	Phase 3	Phase Pause	Phase 4	Phase 5
Planning, preparation and design	Desk review and data collection	Clearance process	Finalization of comments on draft report	Finalization	Follow-up and evaluation

Planning, Preparation and Design (Phase 1)

Terms of Reference (TOR)

5.2 The TOR is prepared by the team leader, namely the report Coordinator/Inspector of the project in consultation with the co-author(s), if any, taking into account the preliminary research, with the assistance of the team.

5.3 The TOR should clearly specify the context and origin, purpose and scope of the inspection and describe the inspection criteria, key inspection questions, the proposed methodology, work plan including detailed calendar, processes, and expected outputs/product and reporting of the inspection.

5.4 The inspection objectives and issues should be clearly stated in a manner that compares the processes, activities, projects, programmes and policies of an organization/unit to established criteria to determine whether resources are being managed effectively and efficiently[8].

5.5 The inspection design should take into account available data, data collection and stakeholder needs so the report will contain timely, valid and reliable information for the relevant stakeholders. Further the inspection methods should be clearly spelled out in the TOR and should be exhaustive and robust for a complete, fair and unbiased inspection.

5.6 The TOR should indicate the expected impact of the inspection in one or more of the impact categories as expressed in Norm 4 above and bearing in mind article 5 of the JIU statute.

5.7 Before starting the inspection, as a general practice, the TOR together with the notification letters are circulated to the participating organizations concerned.

Inception paper

5.8 The inception paper should further develop the inspection questions, tools and methods outlined in the initial TOR, including whether a survey/questionnaire or any other data collection methods are indicated to respond to each inspection question. The inception paper should consider/establish which applicable rules and regulations, internal administrative instructions, established benchmarks, rating system, key performance indicators, good operational practices of other units within or outside the organizations concerned would be utilized to frame the inspection. Interview guides, questionnaires and other

[8] From the JIU Standards and Guidelines (A/51/34/Annex I), para 25.

instruments should be attached to the inception paper, as appropriate, together with as an updated time line. If necessary, the TOR may be adjusted following the inception paper.

Based on the inception paper, the Inspector(s) should be able to[9]:

(a) Identify/define existing criteria, such as current rules, regulations or legislative mandates, benchmarks, standards and performance indicators that govern the operations of the processes, activities, projects, programmes or policies being inspected, to be used as the basis for assessing operational efficiency and effectiveness;

(b) identify specific executive or legislative actions being considered that may affect the process, activity, project, programme or policy being inspected;

(c) understand the interest/concern of Member States regarding the process, activity, project, programme or policy;

(d) clarify the objective(s) of the inspection, which may include, *inter alia*, answering the following:
- Is the entity being reviewed acquiring, protecting and using its resources (such as personnel, property and space) economically and efficiently?
- What are the causes of inefficiencies and uneconomical practices?
- Has the entity complied with rules and regulations on matters of economy?
- What works, why and how?
- What are the good practices?
- What are the improvements needed?

(e) understand the functioning of processes, activities, projects, programmes or policy implementation to be inspected; identify the factors determining the degree of consistency/discrepancy regarding their performance in line with the defined standards/criteria;

(f) determine the presence and use of relevant internal controls related to the processes, activities, projects, programmes and policies being reviewed. The Inspector(s) should be alert to situations or transactions that could be indicative of violations of rules and regulations and misconduct that may have a direct impact on results."

Data collection and analysis (Phase 2)

5.9 Inspection data collection methods include, *inter alia*, questionnaires, surveys, interviews, checklists, record reviews of files, computerized extraction of data, document reviews, recordings, and on-site spot checks and observations.

5.10 All data collected, including the results of interviews and observations, will be documented for further use. Data collected should be triangulated, validated, analyzed and utilized as appropriate to document the report findings, to provide back-up support for presentation to legislative bodies and records and archives available for future JIU projects as an element of knowledge management.

[9] From the JIU Standards and Guidelines (A/51/34/Annex I), para 25.

5.11 Throughout the data collection and analysis phase up until the preparation and finalization of the output product, the teams apply the following standards to ensure consistency and quality of data/information:

- **Validity** –how much confidence is there that the data/information measure what they purport to measure?
- **Relevance** – will the data/information in fact be used to answer the decision-makers' questions?
- **Reliability** - how dependable and consistent are the data/information being gathered?
- **Significance** – will the data/information go beyond what is apparent from direct observation and provide important information to enhance the value of the study?
- **Efficiency** – are the data/information being collected in an efficient manner?
- **Timeliness** – will the analytical information, findings, conclusions and recommendations be available in time to meet decision makers' schedules (where known)?

Questionnaires and surveys

5.12 A questionnaire is an important tool of inspection in a system-wide context to ensure that consistent information is captured from across the system. Questionnaires/surveys should not be targeting information accessible by other means (organization's website, available documents etc.). The questions should be clear, should not request information publicly available and the timeframe required to complete them should be reasonable. The use of online electronic questionnaires/surveys is highly recommended for easy processing. Draft questionnaires and surveys may be tested internally and, if appropriate, with selected stakeholders before being finalized and sent out. The questionnaires/surveys may be accompanied by a short narrative on what key aspects need to be strongly tested.

Interviews

5.13 Formal in-depth interviews are normally undertaken once the analysis of the final inception paper and the questionnaire/survey responses has been completed. As a result of this analysis, the team may produce questions to explore additional issues and obtain interviewee's perspective on the topics discussed, identify any additional documentation and/or information that can contribute to the analysis of the situation, and identify other individuals that can contribute more information to the inspection process.

5.14 Prior to interviews, the Coordinator should identify the major areas of inquiry to be pursued, taking into account the specificities of the organization/entities concerned and the functions of the officials to be interviewed. Key questions are prepared in the form of an "***Interview Guide***" and shared, as appropriate, with interviewees prior to the meeting. Any benchmarks and/or performance indicators used by the team may be shared with interviewees. Questions may also be formulated utilizing the benchmarks/indicators/policies selected for the inspection. The interview guide should be adjusted to the timeframe available for interviews. JIU has guidelines for conducting interviews. An interview note is prepared for each interview.

5.15 Interviews may be done in person or through electronic means (telephone, video/conference).

Checklists

5.16 Checklists provide guidance for the collection of relevant evidence used to determine the performance of the organization(s) being inspected against predetermined criteria. They include preset questions. The inherently systematic process of using checklists makes them highly relevant and useful for inspection purposes. Checklists are the most standardized way of collecting observation data and are used when the data to be collected can be described in advance.

Observations

5.17 Observations are a way of gathering data by watching behavior, processes and events in their natural setting. They can be both a diagnostic tool to help understand what is going well or not and to look into how processes etc. work in practice. Observations can be overt (everyone knows they are being observed) or covert (there is no announcement about the observation). Open-ended narrative data can also be collected through observations.

Key performance indicators and benchmarks

5.18 As part of the inspection process, key performance indicators (to assess the success or failure of a particular process, activity, project, programme or policy) and benchmarks (the standard or point of reference) will be identified or developed prior to the start of an inspection. Key performance indicators, benchmarks and good practices already developed and established by JIU in previous reports should be taken into consideration. [10]

Output preparation (Phase 3)

Report[11] preparation

5.19 The team drafts the report based on an outline indicating key findings, tentative conclusions and recommendations. The team members, as assigned by the inspectors, prepare the draft or report elements they are responsible for.

5.20 To the extent possible, the suggested word limit[12] for JIU reports should be respected without affecting the quality of the inspection. Attention should be given to the requirements of readability and clarity.

5.21 A first "collective wisdom" meeting (*peer review of Inspectors*) of JIU with the participation of the Executive Secretary or his/her representative is held after completion of the draft report by the team members. The relevant comments will be incorporated into the report prior to sending out the draft report for comments to participating organizations and other stakeholders.

Report structure

5.22 The report structure should contain an executive summary, a table of contents, a list of acronyms, an introduction, a main section including subsections for each relevant finding and recommendation, and annexes, where appropriate.

Executive Summary

5.23 The executive summary describes in a concise manner the rationale and objective of the inspection, as well as its main findings, conclusions and key recommendations. Recommendations addressed to legislative bodies for action would be highlighted.

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[10] e.g. "Review of Enterprise Risk Management in the United Nations system" [JIU/REP/2010/4], "Results-Based management in the United Nations in the context of the reform process" [JIU/REP/2006/6] or "Oversight lacunae in the United Nations system" [JIU/REP/2006/2].

[11] The eventual output, depending on the scope and the audience of its recommendations and their sensitivities, may be issued in form of ***a report, note, management letter or confidential letter***. They are all referred to within present Norms and Standards as "***report***".

[12] 10 700 words.

Introduction

5.24 The introduction to the report should be based on the following principles:

- The subject of inspection should be clearly described. Mandates and policies that affect the subject should be mentioned;
- The purpose and context of the inspection including who suggested the subject of the inspection should be mentioned;
- The inspection objectives, scope and criteria used should be included;
- The applied inspection method including an indication of the organizations/entities and other stakeholders that were consulted/interviewed/surveyed. This section should also include any limitations to the methodology (this should include any limits to stakeholders' participation) and the extent to which the inspection design included ethical safeguards such as protection of confidentiality.

Main sections

5.25 The main sections of the report should be based on the following principles:

- The report should clearly differentiate between findings, conclusions and recommendations, and establish clear logical links among them;
- Conclusions need to be substantiated by findings consistent with the methodology and data collected, and present insights into the identification and/or solution of important problems or issues;
- Recommendations should build on conclusions and be firmly based on evidence and analysis, be relevant and realistic, with priorities and timeframe for action clearly stated when appropriate;
- Clear identification and explanation of good practices as well as lessons learned should be included if appropriate.

Annexes

5.26 All inspection reports will include an annex with a table entitled "Overview of actions to be taken by participating organizations concerned on JIU recommendations". Implementation of recommendations are monitored by JIU through a table identifying those recommendations relevant for each organization/entity, specifying whether they require a decision by the organization's legislative or governing body, or can be acted upon by the organization's executive head.

5.27 The following annex elements may be made available on the JIU website: list of organizations/entities/offices interviewed, data collection instruments (questionnaires, surveys), final TOR and relevant bibliography. A full list of interviewees may be retained in the project files. Other relevant documents (side-products of the inspection) such as case-studies, sub-studies, in-depth studies, portfolio analysis, etc. may also be included as an annex on the website.

Phase pause:

5.28 The draft report is circulated, as appropriate, to all participating organizations concerned and other relevant stakeholders to correct any factual errors and make substantive comments/suggestions on the findings, conclusions and recommendations, if any.

6. FINALIZATION (Phase 4)

6.1. All comments received from participating organizations concerned are considered and taken into account, as appropriate. The finalized report is submitted to a second "collective wisdom" process (normally through silent procedure) where the inspectors agree on the final text prior to its submission for official editing.

6.2. The report is edited officially and sent to translation in accordance with article 11of the JIU statute.

7. OUTPUT PRODUCTION/UTILIZATION (Phase 5)

7.1. The report, once officially edited, is circulated to stakeholders for action or information and posted on the JIU website.

7.2. Reports containing recommendations to legislative and governing bodies should be introduced to them, as appropriate, to allow the stakeholders to make full use of it.

7.3. The JIU statute (article 11) regulates the handling and processing of JIU reports and mandates the executive heads of participating organizations to ensure that (a) all relevant reports are discussed and their recommendations acted upon (acceptance or refusal) by their competent organs and that (b) the recommendations of JIU approved by their respective competent organs are implemented as expeditiously as possible. Should the output be classified as a note or a letter, article 11.5 of the statute specifies that they are submitted to executive heads for "use by them as they may decide". Subsequently, JIU has entered into agreements with participating organizations for handling its reports.

7.4. Notwithstanding the final classification of the output, participating organizations concerned are expected to use the JIU web-based tracking system (WBTS) to inform on acceptance and implementation. JIU expects to receive from participating organizations, on an annual basis, information on acceptance and implementation of all recommendations relevant to participating organizations and disclose relevant statistics accordingly.

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Joint Inspection Unit of the United Nations System

Independent system-wide external evaluation and investigation

Norms and Standards for Evaluation

NORMS AND STANDARDS FOR EVALUATION

I. EVALUATION NORMS

N1: Definition of Evaluation

An evaluation is an impartial, systematic and objective assessment of the design, implementation and achievements of ongoing or completed interventions, contributions or activities of the organizations of the United Nations system concerned against its goals, objectives and mandates received from legislative bodies. It focuses on the expected and achieved accomplishments and aims at determining the relevance, impact, effectiveness, efficiency, coherence, and sustainability of a project, programme, strategy, institutional performance or policy. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, conclusions, recommendations and good/best practices into both executive and legislative decision-making processes of the organizations of the UN system[11].

N2: Responsibility for Evaluation

General Assembly resolution 31/192 (22 December 1976) established the Joint Inspection Unit (JIU) and approved the statute of the JIU, with effect from 1 January 1978. The statute (Chapter III) sets out the functions, powers and responsibilities including responsibility for evaluations and contains JIU's overall evaluation policy. The General Assembly has recognized JIU as the only independent external oversight body of the United Nations system mandated[12] to conduct system-wide evaluations.

N3: Independence and Impartiality

Article 7 of the JIU statute states that the Inspectors discharge their duties in full independence and in the sole interest of the organizations. The Inspectors are committed to independence and shall be free from external influence from any country or organization. The independence of the JIU is guaranteed through the process of selection and appointment of the Inspectors as set out in the JIU statute.

The JIU undertakes all stages of the evaluation process in an impartial manner that is free from bias. The views of all stakeholders are to be taken into account, as appropriate, through the evaluation process. Stakeholders are invited to share their views and comments on substantive matters.

N4: Utility and Intervention

Evaluations[13] prepared by the JIU originate primarily from the following three sources: a) mandates received from General Assembly and other legislative bodies of corresponding United Nations system organizations; b) suggestions made by executive heads of participating organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and evaluation; c) internal proposals of the JIU. General Assembly resolutions have called on the JIU to prioritize proposals on management, administrative and programming questions (A/RES/50/233), those aimed at improving management and methods and promoting greater coordination between organizations (A/RES/59/267) and reports on system-wide issues of interest and relevance to the participating organizations and the States Members of the United Nations and other United Nations system organizations and to provide advice on ways to ensure the avoidance

[11] Source: UNEG Norms for Evaluation in the UN System, p. 5 (2005); "Oversight Lacunae in the UN System", p. 19.
[12] A/RES/54/16, A/RES/59/267 reaffirmed 54/16, A/RES/64/262.
[13] JIU evaluations can be in the form of reports, notes or management letters.

of duplication and overlap and more efficient and effective use of resources in implementing the mandates of the Organization (A/RES/64/262, op. para. 8).

Evaluations conducted by JIU must have clear potential to contribute to: **a:** enhanced transparency and accountability; **b:** dissemination of good/best practices; **c:** enhanced coordination and cooperation; **d:** strengthened coherence and harmonization; **e:** enhanced controls and compliance; **f:** enhanced effectiveness; **g:** significant financial savings; **h:** enhanced efficiency;

They should serve as an integral input to the policy making and management process of the United Nations system organizations covering planning, programming, budgeting, performance and results.

The utility of JIU reports, recommendations and effectiveness of follow-up on recommendations is a shared responsibility of the JIU, its participating organizations and Member States. Executive heads of UN system organizations ensure that recommendations of the JIU approved/accepted by their respective competent organs are fully implemented as expeditiously as possible.

V5. Integrity and Ethics (Due care)

JIU evaluation teams are required to possess the highest standard of integrity in performing their duties. The Inspectors are bound by *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission* adopted by the General Assembly on 27 March 2002 in its resolution 56/280. They should respect the beliefs and the social and cultural environment in which they work and be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations. JIU conducts evaluations without discrimination and with due respect to internationally recognized instruments of human rights and in full observance of the United Nations Charter.

The JIU is committed to respect the right of organizations/entities and individuals to provide information in confidence and ensure that sensitive data cannot be traced to their source. The JIU is committed to take care that those involved in evaluations have the opportunity to examine the statements attributed to them.

V6. Quality

The JIU plans, designs and conducts its work in a manner that ensures high quality, which is defined as accuracy, added value, clarity, fairness, objectivity and significance.

V7. Transparency and Consultation

JIU is committed to transparency and to publishing all its evaluations. JIU holds consultation with the relevant stakeholders in the evaluation process. The evaluation Terms of Reference are made available at the beginning of the evaluation process. Stakeholders are invited to comment on the draft evaluation report before its finalization. The JIU will take into account stakeholder comments when finalizing the evaluation as appropriate with the aim to facilitate ownership of the findings and recommendations.

V8. Evaluability

Prior to deciding upon an evaluation, a *validation and evaluability assessment (VEA)* is conducted by the JIU based on mandates, suggestions and proposals received. The validation and evaluability assessment is conducted to establish whether a programme, policy or subject area can be evaluated and to avoid overlapping and/or duplication with the activities of other oversight bodies.

V9. Competence for Evaluation

The JIU evaluation team should comprise relevant professional background, qualification and/or training in evaluation and to continuously update their skills set. The JIU is equipped with the full range of up-to-date methodologies, which may include system-wide based evaluation techniques and analytical review methods including surveys.

V10. Follow-up to Evaluation

The JIU has established a systematic process for tracking each step taken towards the consideration of evaluations by the appropriate legislative organs and/or executive heads, including measures taken by secretariat officials. The JIU maintains a database for recording and tracking the follow up of recommendations of JIU evaluations. The JIU is establishing a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow up.

V11. Contribution to Knowledge Building

JIU evaluation reports are sent out to all executive heads concerned indicating whether they are for action or for information. Upon receipt of evaluation reports, the executive head or those concerned distribute them immediately, with or without their comments, internally and externally to the Member States of their respective organizations.

JIU is responsible for maintaining a depository of recommendations and disseminating good/best practices. The JIU website is used as the main vehicle for knowledge sharing and for developing user-friendly evaluation products. As appropriate, opportunities will be identified to share evaluation reports, good/best practices as well as other useful by-products of the performed evaluation research with stakeholders.

II. EVALUATION STANDARDS

A. NORMATIVE FRAMEWORK

1.1 The JIU statute governs the Unit's oversight functions (evaluation, inspection and investigation) and provides the JIU with a clear mandate for system-wide evaluation. As such, the JIU statute contains its overall evaluation policy. It is complemented by a set of "Internal Standards and Guidelines" and the Internal Working Procedures for conducting the day-to-day work of the JIU, including evaluations.

1.2 JIU performs its function in respect of and is responsible to the United Nations General Assembly and the legislative/governing bodies of those specialized agencies and other international organizations within the United Nations system which have accepted the JIU statute[16] referred to as the participating organizations. JIU is a subsidiary organ of the United Nations General Assembly and the legislative/governing organs of its participating organizations and reports to them through the secretariats of these organizations.

1.3 The JIU Strategic Framework provides strategic guidance to the work of the Unit. The annual programme of work[17] is established after consultation with legislative/governing bodies of participating organizations, the executive heads of participating organizations, as well as the organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and evaluation. It is presented to the Member States, executive heads and other relevant bodies as per article 9.2 of the statute. The programme of work takes into account JIU overall experience, assessment of priorities and availability of resources.

1.4 The JIU shall first consider requests by legislative organs. It shall fully take into account the changing priorities and needs of the participating organizations. It will also give due consideration to a number of factors, such as adequate mix of system-wide, multi-organizational and single-organization reports, in particular reviews of management and administration of organizations. System-wide reports will include reports on issues which are of common concern to all organizations and for which solutions require concerted action and a collective approach through the CEB machinery, including reports for which individual solutions to common problems must be devised for each organization. As per request by the General Assembly, JIU focuses on system-wide issues of concern to participating organizations and their legislative bodies.

1.5 JIU has mechanisms for the dissemination, handling[18] and follow-up[19] of evaluation reports with participating organizations and receives information on acceptance and implementation of its recommendations on a regular basis from them and shares the overall results in its annual report.

1.6 JIU evaluation reports are available on the JIU website (www.unjiu.org).

[16] As of October 2013: FAO, ITC, IAEA, ICAO, ILO, IMO, UNAIDS, ITU, UNJ, UNCTAD, UNDP, UNEP, UNESCO, UNFPA, UNHCR, UN-Habitat, UNICEF, UNIDO, UNOPS, UNODC, UNRWA, UN WOMEN, UNWTO, UPU, WFP, WHO, WIPO, WMO.

[17] Article 9 of the statute.

[18] Article 11 of the statute.

[19] Article 12 of the statute.

2.1 JIU evaluation teams should comprise core evaluation competencies and professional experience in evaluation and/or oversight. They are required to have or to acquire relevant experience, qualification and/or training in evaluation, and to continuously update their skills set.

2.2 Evaluation teams should act with integrity and objectivity in their relationship with all stakeholders. They should ensure that their contacts with individuals/officials are characterized by respect, including the protection of the anonymity and confidentiality of individuals.

2.3 The Inspectors are accountable for the overall conduct of the evaluation and the final product.

Validation

3.1 Prior to deciding upon an evaluation, the mandates, suggestions and proposals received are subject to a *validation and evaluability assessment* conducted by JIU. During such screening an internal standard validation and evaluability assessment template is used.

3.2 The validation and evaluability assessment is conducted to establish whether a programme, policy or subject area can be evaluated, if the relevant information and data for an evaluation are available and can be obtained within the timing of the evaluation and with the cooperation and interest of the stakeholders.

3.3 The validation and evaluability assessment takes into account, *inter alia*, the following aspects:

- Does the proposal duplicate any previous or ongoing oversight work?
- Is this an important topic for system-wide coherence and coordination?
- Is there any potential for efficiency gains?
- Does it contribute to key UN initiatives?
- Does the proposal address critical management, administrative and programming questions?
- Is the proposal aimed at improving management and administrative methods?
- Does the proposal promote greater coordination between the participating (UN system) organizations?
- Can it be done within existing resources and, if not, will XB be provided by the suggesting entity?

4.1 The JIU applies the following indicative yardsticks for its evaluations. Their duration varies according to complexity, nature (single organization, several organizations or system-wide), available resources and other specific considerations:

Planning and Preparation (Phase 1)

Terms of Reference (TOR)

4.2 The TOR is prepared by the evaluation team leader, namely the report Coordinator/Inspector of the project in consultation with the co-author(s), if any, taking into account the preliminary research, with the assistance of the evaluation team.

4.3 The TOR should clearly specify the context and origin, purpose and scope of the evaluation and describe the evaluation criteria, key evaluation questions, the proposed methodology, work plan including detailed calendar, processes, and expected outputs/product and reporting of the evaluation.

4.4 The evaluation objectives should be clearly stated, realistic and achievable in light of the information that can be collected and processed during the timeframe of the evaluation.

4.5 The evaluation design should take into account available data, data collection and stakeholder needs so the report will contain timely, valid and reliable information for the relevant stakeholders. Further the evaluation methods should be clearly spelled out in the TOR and should be exhaustive and robust for a complete, fair and unbiased evaluation.

4.6 The TOR should indicate the expected impact of the evaluation in one or more of the following impact categories bearing in mind article 5 of the JIU statute:
a: enhanced transparency and accountability;
b: dissemination of good/best practices;
c: enhanced coordination and cooperation;
d: strengthened coherence and harmonization;
e: enhanced controls and compliance;
f: enhanced effectiveness;
g: significant financial savings;
h: enhanced efficiency;
i: other.

4.7 Before starting the evaluation, the TOR together with the notification letters should be circulated to the participating organizations.

4.8 System-wide stakeholders and experts may be consulted, as feasible and appropriate, in the planning, design, conduct and follow-up of the evaluation reports. The JIU evaluation teams will, as possible, take stock of sessions, meetings or conferences organized by external specialists on subjects related to their own project topic. Exceptionally, and provided funding is available for this, the JIU report coordinator may call for an enlarged brainstorming session open to competent secretariat officials of the participating organizations and of any other pertinent expert network where the teams shall share initial findings and conclusions and shall exchange views on the subject.

Inception paper

4.9 An inception paper will be prepared. The preliminary inception paper should further develop the evaluation questions and methods outlined in the initial TOR, including whether a survey/questionnaire or any other data collection methods are indicated to respond to each evaluation question. An interview guide should be attached to the final inception paper, as well as an updated time line. If necessary, the TOR may be adjusted following the final inception paper.

4.10 The final inception paper would be prepared using, *inter alia*, documentation available online and updated over the duration of the evaluation project as additional data is collected.

Data collection and analysis (Phase 2)

4.11 Evaluation data collection methods include questionnaires (in particular for system-wide evaluations), surveys, interviews, research, specific data/documentation requests and on-site visits.

4.12 All data collected, including the results of interviews and observations, will be documented for further use. Data collected should be triangulated, validated, analyzed and utilized as appropriate to document the report findings, to provide back-up support for presentation to legislative bodies and material available for future JIU projects as an element of knowledge management.

4.13 Throughout the data collection and analysis phase up until the preparation and finalization of the evaluation report, the teams apply the following standards to ensure consistency and quality of data/information:

- **Reliability/Validity** – how dependable and consistent are the data/information being gathered? How much confidence is there that the data/information measure what they purport to measure
- **Relevance** – will the data/information in fact be used to answer the decision-makers' questions?
- **Significance** – will the data/information go beyond what is apparent from direct observation and provide new and important information to the decision makers?
- **Efficiency** – are the data/information being collected in a manner that reflects the most economical use of resources and makes a unique contribution to improving concrete aspects of operations concerned?
- **Timeliness** – will the analytical information, findings, conclusions and recommendations be available in time to meet decision makers' schedules (where known)?

Questionnaires and surveys

4.14 Questionnaire is an important tool of evaluation in a system-wide context to ensure that consistent information is captured from across the system. Questionnaires/surveys should not be targeting information accessible by other means (organization's website, available documents etc.). The questions should be clear, should not request information publicly available and the timeframe required to complete them should be reasonable. The use of online electronic questionnaires/surveys is highly recommended for easy processing. Draft questionnaires and surveys may be tested internally and, if appropriate, with selected stakeholders before being finalized and sent out. The questionnaires/surveys may be accompanied by a short narrative on what key aspects need to be strongly tested.

Interviews

4.15 Formal in-depth interviews are normally undertaken once the analysis of the final inception paper and the questionnaire survey responses has been completed. As a result of this analysis, the team may produce questions to explore additional issues and obtain interviewee's perspective on the topics discussed, identify any additional documentation and/or information that can contribute to the analysis of the situation, and identify other individuals that can contribute more information to the evaluation process.

4.16 Prior to interviews, the Coordinator should identify the major areas of inquiry to be pursued, taking into account the specificities of the organization/entities concerned and the functions of the officials to be interviewed. Key questions are prepared in the form of an "***Interview Guide***" and will be shared with interviewees prior to the meeting. The interview guide should fit the timeframe available for interviews. JIU has guidelines for conducting interviews. An interview note is prepared for each interview.

4.17 Interviews may be done in person or through electronic means (telephone, video/conference).

Output preparation (Phase 3)

Evaluation report preparation

4.18 The team drafts the evaluation report based on an outline indicating key findings, tentative conclusions and recommendations. Key findings should be supported with evidence from at least three different information sources (triangulation of information). The team members, as assigned by the inspectors, prepare the draft or report elements they are responsible for.

4.19 To the extent possible, the suggested word limit[20] for evaluation reports should be respected without affecting the quality of the evaluation. Attention should be given to the requirements of readability and clarity.

4.20 A first "collective wisdom" meeting (*peer review of Inspectors*) of the JIU with the participation of the Executive Secretary or his/her representative is held after completion of the draft report by the team members. The relevant comments will be incorporated into the report prior to sending out the draft report for comments to participating organizations and other stakeholders.

Report structure[21]

4.21 The report structure should contain an executive summary, a table of content, a list of acronyms, an introductory section/chapter, a main section including subsections for each relevant finding and recommendation, and annexes.

Executive Summary

4.22 The Executive Summary describes in a maximum of 3 pages the rationale and objective of the evaluation. Main findings, conclusions and key recommendations should also be included, highlighting recommendations addressed to legislative bodies for action.

Introductory section

4.23 The Introductory section of the report should be based on the following principles:

- The subject of evaluation should be clearly described. Mandates and policies that affect the subject should be mentioned;
- The purpose and context of the evaluation including who suggested the subject of the evaluation should be mentioned;
- The evaluation objectives, scope and criteria used should be included;
- The applied evaluation method including an indication of the organizations/entities and other stakeholders that were consulted/interviewed/surveyed. This section should also include any limitations to the methodology (this should include any limits to stakeholders' participation) and the extent to which the evaluation design included ethical safeguards such as protection of confidentiality.

[20] 10 700 words.

[21] Report as used in these Norms and Standards covers "reports", "notes" and "letters" in line with JIU terminology.

Main sections

4.24 The main sections of the report should be based on the following principles:

- The report should clearly differentiate between findings, conclusions and recommendations, and establish clear logical links among them;
- Conclusions need to be substantiated by findings consistent with the methodology and data collected, and present insights into the identification and/or solution of important problems or issues;
- Recommendations should build on conclusions and be firmly based on evidence and analysis, be relevant and realistic, with priorities and timeframe for action clearly stated when appropriate;
- Clear identification and explanation of good/best practices as well as lessons learned should be included if appropriate.

Annexes

4.25 All evaluation reports will include an annex with a table entitled **"Overview of actions to be taken by participating organizations on JIU recommendations"**. Implementation of recommendations are monitored by JIU through a table identifying those recommendations relevant for each organization/entity, specifying whether they require a decision by the organization's legislative or governing body, or can be acted upon by the organization's executive head.

4.26 The following annex elements should be available on the JIU website: list of organizations/entities/offices interviewed, data collection instruments (questionnaires, surveys), final TOR and relevant bibliography. A full list of interviewees should be retained in the project files. Other relevant documents (side-products of the evaluation) such as case-studies, sub-studies, in-depth studies, portfolio analysis, etc. may also be included as an annex on the website.

Phase pause:

4.27 The draft report is circulated as appropriate to all participating organizations concerned and other relevant stakeholders to correct any factual errors and make substantive comments/suggestions on the findings, conclusions and recommendations, if any.

5.1 All comments received from participating organizations are considered and taken into account as appropriate. So finalized report is submitted to a second "collective wisdom" meeting (normally through silent procedure) where the inspectors agree on the final text prior to its submission for official editing.

5.2 The evaluation report is edited officially and sent to translation in accordance with article 11.4 (b) of the JIU statute.

6.1 The evaluation reports, once officially edited, are circulated to stakeholders for action or information and posted on the JIU website.

6.2 Evaluation reports should be introduced to participating organizations' legislative and governing bodies as appropriate to allow the stakeholders to make full use of it.

6.3 The JIU statute (article 11.4) regulates the handling and processing of JIU reports and mandates the executive heads of participating organizations to ensure that (a) all relevant reports are discussed and their recommendations acted upon (acceptance or refusal) by their competent organs and that (b) the

recommendations of the JIU approved by their respective competent organs are implemented as expeditiously as possible. Subsequently, the JIU has entered into agreements with participating organizations for handling its evaluation reports.

6.4 The JIU expects to receive from participating organizations, on an annual basis, information on acceptance and implementation of all recommendations relevant to participating organizations and disclose relevant statistics accordingly. The JIU has established a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow-up system.

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A/68/34

General Principles and Guidelines for Investigations

GENERAL PRINCIPLES AND GUIDELINES FOR INVESTIGATIONS

I. MANDATE, SCOPE, DEFINITIONS AND SOURCES OF INFORMATION

A. MANDATE AND SCOPE

1. According to article 5.1 of the statute of the Joint Inspection Unit thereafter called JIU), the Inspectors shall have the broadest powers of investigation in all matters having a bearing on the efficiency of the services and the proper use of funds.

2. The United Nations General Assembly has reconfirmed the investigation function of the JIU in a number of resolutions, notably A/RES/50/233, A/RES/54/16, A/RES/59/267, A/RES/59/272, A/RES/62/246, A/RES/63/272, A/RES/64/262, A/RES/65/270 and A/RES/66/259.

3. The JIU is the only independent external oversight body of the United Nations system. In exercising its investigative function, it does not constitute a substitute for or an appeal body of any established regular internal mechanism, namely investigative or administrative bodies, as well as of the United Nations system administrative tribunals.

4. Articles 6.1 and 6.2 of the JIU statute stipulate: "Acting singly or in small groups, the Inspectors shall make on-the-spot inquiries and investigations, some of which may be without prior notification, as and when they themselves may decide, in any of the services of the organizations. The Inspectors shall be accorded full co-operation by the organizations at all levels, including access to any particular information or document relevant to their work". These provisions are fully applicable to and shall be respected by the investigative and other offices of the organizations.

5. According to article 8 of the statute, the JIU shall determine standards and procedures for the conduct of inquiries and investigations.

6. The present General Principles and Guidelines do not and are not intended to bind the organizations or confer, impose or imply any duties, obligations or rights actionable in a court of law or in administrative proceedings on the organizations. Nothing in the present General Principles and Guidelines shall be interpreted as affecting the rights and obligations of each organization per its regulations, rules, policies and procedures, nor the privileges and immunities afforded to each organization by the international treaties, customary international law and the laws of the respective member state.

7. The JIU makes particular reference to the "Uniform Guidelines for Investigations" endorsed at the 10th Conference of International Investigators (2009), a number of which it embedded to the present text or adapted to the unique context of the JIU.

8. The JIU, bearing in mind the confidentiality requirements, may consult and collaborate with other organizations, international institutions and other relevant parties to exchange ideas, practical experience and insight on how best to address issues of mutual concern. In relation with the conduct of specific investigations by other investigative offices, the Investigative component of the JIU may cooperate and share information with them.

9. JIU investigations will focus on alleged violations of regulations and rules and other established procedures by:

a. Executive Heads;

b. Heads of Internal Oversight;

c. Officials of organizations other than staff members[2]; and

d. On an exceptional basis, staff of organizations that do not have in-house investigative capacity, if resources permit.

10. An **investigation** is a legally based, independent inquiry into a situation or occurrence resulting in damages affecting the image, the properties and other resources or rights of organizations or/and into the alleged conduct of, or action taken by, an individual or group of individuals resulting in such damages. An investigation pursues reports of alleged violations of regulations, rules and other established procedures.

11. The JIU investigations are performed by its **Investigative component**. The Investigative component of the JIU is, in the phase of preliminary assessment, composed of the Vice-Chair and a professional investigator. In the course of a pursued investigation, it excludes the Chair and the Vice-Chair but includes two Inspectors assigned by the JIU to investigate the case and a professional investigator.[3]

12. **Preliminary assessment** is the first step of the JIU investigative process, during which the Investigative component reviews and checks the available information and preliminary evidence, in order to assess whether the reported allegations provide enough or credible indications to launch a full investigation.

13. For the purpose of this document, the use of the term "**organization**" includes reference to any organization or entity having accepted and abiding by the JIU statute. The investigative unit of any organization is hereinafter referred to as its **investigative office**.

14. The JIU uses the following sources of information to pursue an investigation:

a. Requests of the competent organs of the organizations and suggestions received from the executive heads of organizations and bodies the United Nations system concerned with budgetary control, investigation, coordination and evaluation, in accordance with article 9 of the JIU statute;

[2] As defined in ST/SGB/2002/9 "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission".

[3] Its functions are similar to those of the investigative office referred to in the "Uniform Guidelines for Investigations" endorsed at the 10th Conference of International Investigators (2009).

b. Its own observations and findings during the preparation of its reports, notes and management letters;

c. Allegations directly received by the JIU irrespective of their source, taking into account the seriousness of the complaint, its credibility and the extent to which it can be corroborated.

II. INVESTIGATION STANDARDS, PROCESS AND CONFIDENTIALITY

A. STANDARDS

15. A JIU investigation compares the conduct of the individual under investigation to established criteria (e.g., regulations and rules, codes of conduct, administrative instructions and applicable law).

16. It is conducted with a view to establishing facts substantiating the allegations and, as appropriate, bringing the matter to the attention of the competent authorities and/or investigative office of the organization concerned for appropriate action.

17. The planning and conduct of a JIU investigation and the resources allocated to it should take into account the gravity of the allegation.

18. The JIU investigations shall be guided by its general standards of independence, competence, integrity, due care and quality, and by the principles of accountability, equity, fairness, justice and objectivity.

19. The following standards shall be observed in any JIU investigation:

a. Objectivity, operational independence, impartiality and fairness throughout the investigative process as well as timely disclosure of appearance of any conflict or appearance of conflict of interest to the JIU;

b. Abidance by mandate provisions, regulations and rules, code of conduct and administrative instructions of the organization concerned as well as laws of the relevant national jurisdictions;

c. Investigative findings and conclusions based on valid, substantiated facts and related analysis, and not on personal opinions or assumptions;

d. Promptness and transparency;

e. Due process and presumption of innocence;

f. Due consideration given to all findings.

20. Concealing allegations or evidence as well as any other interference during the investigation process shall amount to serious misconduct and subsequently to disciplinary measures.

21. The members of the Investigative component of the JIU shall be accountable for any violation of the present standards.

22. In case of a conflict of interest arising, the Inspectors concerned shall recuse themselves and shall not participate in any stage of the investigative process.

23. In accordance with the JIU mandate for investigations, on their own initiative or at the request of the JIU Investigative component, the organizations shall require their staff to cooperate with JIU investigations, fully answer questions and comply with all requests for assistance and information.

24. An organization's staff member who qualifies as a "whistleblower" under the organization's regulations and rules, policies and procedures, shall not be subjected to retaliation. Its executive head will treat retaliation as a separate act of misconduct.

B. Investigation Process

25. All allegations received by the JIU shall be handed over to the Vice-Chair, who will brief the Chair.

26. The JIU Investigative component will register and acknowledge receipt of the allegations received.

27. All allegations shall be reviewed by the JIU Investigative component to determine whether they fall within the mandate and scope of the JIU investigations.

28. Supported by a professional investigator, the Vice-Chair shall conduct a preliminary assessment and make a recommendation on whether the case justifies a full investigation, whether it should be closed or whether it should be referred to the appropriate competent authorities.

29. The Vice-Chair shall inform the Chair of the results of the preliminary assessment at a formal meeting of the Bureau. In the case of agreement between the Chair and the Vice-Chair on closing or referring the case, the Inspectors will be informed and requested to give their consent usually through silent procedure. In case of disagreement between the Chair and the Vice-Chair both views shall be submitted to a formal meeting of the Inspectors.

30. If the Bureau recommends initiating a full-fledged investigation, it will convene an Inspectors' meeting. If the JIU approves a full-fledged investigation, it shall assign two Inspectors for the task, assisted by a professional investigator, and decide on resources (staff and travel) necessary for the proper conduct of the investigation.

31. The JIU may request relevant authorities for the funding of some investigation-related expenses.

32. The Chair and the Vice-Chair of the JIU shall be kept informed of the ongoing investigations and their progress and ensure full independence of the investigation process. The Executive Secretary of the JIU shall receive the information required on the ongoing investigations in order to allow investigations be provided with the necessary financial and human resources.

33. The Investigative component of the JIU shall conduct each investigation following a detailed work plan. One of the main work plan's objectives is to identify sources of information and ways to preserve and protect evidence. An investigation work plan is subject to adjustments as new facts and sources of evidence may emerge.

34. The Investigative component of the JIU shall conduct the investigation expeditiously.

35. Under some circumstances, at the request of the Investigative component, the JIU will determine whether it is necessary to involve experts with the appropriate background and expertise to provide advice and assistance.

36. If additional special investigative skills are required, the Unit may upon the request of the Investigative component engage the services of outside professional investigators, investigative offices or units

within or outside the United Nations system to assist the Investigative component with the investigation.

37. The JIU investigative activity shall be fully documented including the collection and analysis of documentary, video, audio, photographic and electronic information or other material, interviews of witnesses, observations of the members of the Investigative component (or other professional investigators hired to assist them) and such other investigative techniques required to conduct a thorough investigation.

38. The Investigative component of the JIU shall examine both inculpatory and exculpatory information.

39. Audio or video recording of the interviews should be the norm for the interviews conducted by members of the Investigative component of the JIU. If this is not possible, interviews should be performed by two persons, either members of the Investigative component or hired to assist the Investigative component.

E. CONFIDENTIALITY

40. The Inspectors and all involved in and/or informed of an investigation shall be bound by professional secrecy as regards all confidential information that they receive (article 6.3 of the JIU statute). It is critical to ensure that the confidentiality of information be secured so that, among other things, whistleblowers and others remain confident in their ability to communicate with JIU.

41. The members of the Investigative component shall take appropriate measures to prevent any leakage or disclosure of investigative information to any third party.

42. The number of persons involved in an investigation should be kept to a minimum.

III. INVESTIGATION OF EVASIVE

43. After the conclusion of the JIU investigation the Investigative component reports back to the JIU on the investigation results as well as the suggested course of action to be followed.

44. If the Investigative component of the JIU does not find sufficient evidence during the investigation to substantiate the reported allegations, it will document such findings and recommend to the Unit to close the investigation and to notify the parties concerned.

45. If the Investigative component of the JIU finds sufficient evidence to substantiate the reported allegations, it will document its investigative findings and recommend to the Unit to communicate the investigation results to the relevant organs/authorities of the organization concerned consistent with its regulations and rules, policies and procedures.

46. The JIU investigation results shall be made in a confidential letter accompanied by a detailed investigation report on its findings and conclusions. The draft of such a letter shall be submitted to the JIU for consideration.

47. JIU confidential letters on investigation results are addressed to the executive head of the organization concerned. JIU confidential letters on investigation results concerning the officials listed in subparagraph 9 (a) and (c) of the present General Principles and Guidelines shall be communicated to the chair of the legislative governing body concerned. A summary of investigations conducted shall be included in the annual report of the JIU, in a way ensuring that the rights of the subject of investigation are not infringed and with due regard to confidentiality.

48. Supported by a professional investigator, the Vice-Chair is the JIU Focal Point assigned to monitoring the response of the organizations to the JIU confidential letters and investigations reports substantiating investigated allegations.

49. After the completion of any JIU investigation, the Bureau shall maintain and secure the full and complete record of the investigation, namely investigation activities, evidence collected, findings, conclusions and decisions taken.

50. Where the JIU finds that a complaint or allegations were intentionally false, it shall refer the matter to the relevant authority in the organization concerned.

51. Where the findings of the Investigative component of the JIU indicate that there was a failure to comply with an obligation existing under the investigative process by a witness or subject, the JIU may refer the matter to the relevant authority in the organization concerned.

52. The JIU may consider whether it is appropriate to refer information related to the investigated case to the relevant national authorities.

53. The Investigative component of the JIU shall fully apply the present General Principles and Guidelines to any investigation process and shall be accountable for any violation of them.

54. Once the investigation is concluded, the draft investigation report of the Investigative component will be shared with the subject of investigation. The subject of investigation can comment on the findings of the draft investigation report and may submit a complaint for any violation of the present General Principles and Guidelines, namely the set standards and provisions on the investigation process, if he/she wishes to do so. The comments of the subject of investigation along with his/her possible complaint will be submitted to the Unit and will be considered together with the draft investigation report, as well as adequately reflected in the confidential letter.